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ABSTRACT

The kit on university archives in Association of Research Libraries (ARL) contains the results of a 1983 survey that dealt primarily with the place of the archives within the library/institutional structure, reporting relationships, collection responsibilities and scopes, staffing levels, and relationship of the library to the institution's records management program. Questionnaires were distributed to 58 academic institutions. Of the 53 that responded (91%), 44 provided usable data. Survey results include information on organization, collections, policies and procedures, and issues and trends. In addition to the survey results, the kit contains reports from 10 institutions broken down into the following categories: 3 comprehensive reports; 1 report on goals and objectives; 2 reports on policies and procedures; 2 annual reports; and 2 position descriptions. The SPEC (Systems and Procedures Exchange Center) Flyer, prepared collaboratively with Gordon Fretwell, and selected sources on university archives are included. (THC)

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spec flyer
September 1984 #107
OMS
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UNIVERSITY ARCHIVES IN ARL LIBRARIES

ISSN 0160 3574

University archives are a traditional resource in large research institutions, yet the current growth in records and information technologies is causing universities to re-examine how archives function and their relationships with other library collections and roles. The mission of university archives usually is seen as selecting, describing, preserving, and making available the records of an institution that have enduring value for administrative legal, fiscal, and historical purposes.

In late 1983, SPEC conducted an on-demand survey with the 58 academic public institutions that are members of the Association of Research Libraries (ARL) concerning their university archives. The survey, initiated at the request of a member library, dealt primarily with the place of the archives within the library/institutional structure, reporting relationships, collection responsibilities and scopes, staffing levels, and relationship of the library to the institution's records management programs.

Fifty-three questionnaires were returned, for a response rate of 91 percent. Of the 53, 44 provided usable data. One library reported there were no archives in existence, one reported that archives were not a part of the library organization but did report to the University Librarian, and eight reported that archives were not part of the library. (More complete survey results can be found in the accompanying kit.)

ORGANIZATION. Respondents' total archives staffs range from 0 to 27, with a median of 5 full-time staff members. Thirty-one libraries report employing professional archivists, with the number varying from half-time to five.

One-third of the respondents' archivists report directly to the chief librarian (14 of 44), while the remaining report to one or two intervening levels. Salaries vary widely, with minimum salaries for head archivists ranging from $14,000 to $34,000, and maximum salaries ranging from $22,000 to $50,000. Other library staff positions cited as being on the same organizational or hierarchical level as the archivist are heads of acquisitions, cataloging, reference, documents, circulation, law library, science and technology division, media center, and college and departmental libraries. In most cases, (22 of 27), the salary ranges for the archivists were reported as substantially the same as their peer group's in the organizations.

From the variations of salary levels, it appears that local needs and historical practice are the primary influences on archival organization, and that the archives often is strategically placed within the library in response to perceptions of local needs, rather than from a clear sense that the archives belongs at some specific organizational level.

COLLECTIONS. Approximately half of the respondents are charged with collecting all official records of the parent institution which they can reasonably obtain, and the

remaining half have charges of a lesser scope, ranging from no mandate at all (2) to responsibility for a substantial part of the available material (14). For "non-official" materials of a historical character that illuminate the official history of the parent institution, 17 are collecting everything they can identify and obtain, 13 are collecting a substantial part, five are collecting a small fraction, and seven are not mandated to collect any such material.

Many of the archives collect materials other than university-related documentation. Twenty-three report extra-university manuscripts; nine have literary manuscripts, and 21 acquire others types of materials.

POLICIES AND PROCEDURES. Most university archives have established internal policies and procedures for acquiring, storing, and servicing materials. Some of the most elaborate divide records series into groups according to the private or public nature of the files. Many find, however, that it is the relationship of the archives to the rest of the university files that needs most attention. Without guidelines on what to save and what to keep, paperwork can overflow office files. Established retention periods and continuous appraisal to weed out unneeded files are essential to help universities document their fiscal, administrative, and academic functions.

Twenty-six respondents have instituted campus-wide record management programs, with 21 of these formally linked to archives. Many supporting documents emphasize that an institution-wide records and archives program can help reduce operating costs, improve service, and make better use of space.

ISSUES AND TRENDS. A few universities have undertaken comprehensive records survey and assessment projects to help establish the foundation for both archives and records management policies. University archivists at some libraries have assumed responsibility for institutional records management. A few archives operations have developed advisory services to help university offices on such matters as the design of filing systems and the schedule for withdrawing records.

The introduction of electronic information systems, inexpensive reprography, and small computers has posed some new challenges for archives. Copy machines and word processing can produce multiple working drafts and files, which can complicate guidelines for retention. Where different systems and computers are used, the problem is to maintain the technical capability to read the files.

Electronic storage does promise to help reduce file space, but institutions still generate and retain most documentation on paper. Selecting paper items for retention is an area where archivists and administrators can collaborate, with attention to the need to keep appropriate paper evidence of business transactions for legal reasons as well as preserving physical documents that are of historical interest. Where micrographics and computer technologies are the storage media, the security of master copies must be ensured, and the longevity of the medium itself must be considered.

As use of records collections increases, there are attendant needs for more intensive reference service, longer hours, and related activities such as programs and exhibits. Such service calls for staff with public services skills and knowledge of the collections, plus increased attention to indexes and other finding aids. It also is essential to balance ease of use with conservation and security for collections.

SPEC Kit #107, University Archives, (September 1984, 108 pages) contains SPEC survey results, three comprehensive reports on records programs, one goals and objectives statement, two examples of policies of procedures, two annual reports, two position descriptions, and a list of selected sources on university archives. SPEC Kits are available mainly by subscription from SPEC, Office of Management Studies, Association of Research Libraries, 1527 New Hampshire Ave., N.W., Washington, D.C. 20036. Individual kits may be ordered for $15.00, prepayment required. Orders outside the U.S. and Canada, add $5.00 for pacel post shipping and handling. (ARL members receive SPEC kits for $7.50.)

This flyer was prepared collaboratively with Gordon Fretwell, Associate Director for Public Services, University of Massachusetts, as part of the Office of Management Studies Collaborative Research/Writing Program.

USES OF SPEC KITS

The Systems and Procedures Exchange Center (SPEC) is a clearinghouse operated by the Association of Research Libraries, Office of Management Studies that provides a central source of timely information and materials on the management and operations of large academic and research libraries. It facilitates the exchange of knowledge and documents through SPEC Kits, which are distributed ten times each year to ARL members and other interested libraries. The Kits include topically-arranged groupings of unedited primary source documents – selected for their value to administrators and decision-makers – that illustrate a wide range of alternative approaches to specfic issues.

Kit documents come from general membership surveys and from selected libraries contacted directly by SPEC, and most Kits are produced within six months of surveys. The documents' value comes from their variety of ideas, methods, and solutions. They are not viewed as finished products, but rather as points of departure for a library's planning efforts and as stimulants to innovative approaches to problem-solving. As such, Kits do not present answers or prescriptions for any one library; instead they illustrate how selected ARL members are planning for or dealing with particular issues. The worth of any one Kit to a particular library will depend upon the specific topic covered and the library's stage of development in that area.

Materials are selected according to the following criteria:

- Presents an approach of potential value to administrators and decision-makers
- Timely, and dealing directly with the topic under consideration
- Probability of application of ideas or thinking to other library situations
- Illustrative of actual practice, rather than theoretical
- Understandable, readable communication

All together, the materials should provide a range of alternative approaches that complement each other, provide variety, and stimulate comparison and contrast.

Libraries can take advantage of the Kit compilations in a number of ways. Administrators can evaluate the assumptions, methods, and results of other libraries' approaches; compare and contrast them; and use the learnings in their own situations. Library staff members can use the kits as professional development and current awareness tools. Committees and task forces can use them to begin a review of current practices. And the Kits can identify other persons or places to contact for further information. Back-up files in the SPEC office also are available for loan to member libraries. In addition, SPEC will conduct on-demand surveys or analyses geared specifically for a single library.

EVALUATION

Kit Title/Number _____

1. Which uses did the library make of this Kit?

2. Please indicate how useful the Kit was for these purposes.

☐ Very Useful ☐ Quite Useful ☐ Somewhat Useful ☐ Not Useful

3. Do you have suggestions for this Kit or for future Kits?

(optional) NAME _____

LIBRARY _____

PHONE _____

Please return this form to the SPEC Center, OMS/ARL, 1527 New Hampshire Ave., N.W., Washington, DC 20036.

1/82

ISSN 0160 3582

UNIVERSITY ARCHIVES IN ARL LIBRARIES

SPEC KIT #107

SEPTEMBER 1984

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spec flyer
September 9, 1983
OMS
Systems and Procedures Exchange Center

ON-DEMAND SURVEY: ARCHIVES

As a state university library ARL member, you are being asked to participate in this On-Demand SPEC Survey, requested by the University of Massachusetts Library.

The results will become part of a SPEC Kit on Archives in 1984, and also will be used by the University of Massachusetts for library planning.

Very generally, we are interested in:

- Whether an archives exists at your institution;
- The relationship of the archives to the library;
- The archives' place within the library
- The scope of the collection;
- Staffing; and
- The archives' relationship to institutional records management.

RETURNING THE SURVEY

Please ask the most appropriate staff member at your library to fill out this survey and return it to us by October 14, 1983.

We also are requesting readily-available documents that describe your archives; operations -- planning documents, periodic reports, descriptive materials, budgets (past or future), organization charts, etc.

If you have questions about the survey or the accompanying documents, please call Maxine Sitts 202/232-8656.

Return all materials by October 14, 1983 to:
Archives Survey
SPEC
ARL/Office of Management Studies
1527 New Hampshire Ave., N.W.
Washington, D.C. 20036

Person Responding to Survey_____

Title/Position_____

Library_____

Address_____

_____ (Zip)_____

Phone (area code ____) _____

The Systems and Procedures Exchange Center (SPEC) is operated by the Association of Research Libraries, Office of Management Studies, 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036. Telephone (202) 232-8656.

Responding Library 58 sent; 53 responses

ON-DEMAND SURVEY: ARCHIVES

DEFINITION OF ARCHIVES

For the purposes of this questionnaire, archives is defined as an organizational unit which has been given, or has assumed, the responsibility for seeking, acquiring, and preserving records of the parent institution. Its role may be comprehensive or partial, limited solely to the official records or may include unofficial items of historical interest, and it may be only one of several agencies serving this function. In addition to the records of an institution, archives may include papers relating to notable individuals, whether or not they have a direct relationship to the parent institution.

A critical factor to be considered is that an archives has its own approach to maintaining its resources, which are distinctly different from those employed by a Library for its general collections.

GENERAL QUESTIONS

1. Does the university have an "archives"?

   52 Yes
   1 No

   (If there is no university archives, please check "No", and return the questionnaire.)

2. If there is a university archives, is it part of the library?

   44 Yes
   8 No

   (If it is not part of the Library, please answer 2a, and return the questionnaire.)

2a. If there is a university archives, and it is not part of the library, to what administrative or academic officer does it report?

_____

THE FOLLOWING QUESTIONS REFER TO PRACTICES RELATED TO A SPECIFIC SEPARATE COLLECTION OR DEPARTMENT WHOSE MISSION IS, IN WHOLE OR IN PART, TO COLLECT THE OFFICIAL RECORDS AND OTHER "ARCHIVAL" MATERIALS, MANUSCRIPTS, ETC. RELATING TO THE PARENT INSTITUTION. Please do not answer questions in the context of policies or practices which apply to materials cataloged and shelved in the library's general collections.

3. What is the reporting line between the head of the archives unit described above and the director of the library? (respond briefly or enclose organization chart) _____

_____

Responding Library_____

4. If the head of the archives is also responsible for other departments, or, if the archives is also responsible for other functions, please indicate those other departments or functions: _____

_____

_____

5. What other positions in the library are on an equivalent organizational level as the head of the archives unit described above (a few examples will suffice or enclose organization chart)_____

_____

_____

_____

6. What is the salary range for the head of the archives unit?_____

7. The salary range for head of the archives unit is:

22 the same
4 higher
1 lower

as/than the positions noted in Question 5.

8. If the library employs a rank structure, what other positions in the library are held by staff with the same rank as the head of the archives unit described above (a few examples will suffice)_____

_____

_____

_____

9. The scope of mandated library responsibility for collecting official institutional records is: (Please check the appropriate level.)

2 Not responsible for collecting/maintaining/preserving any materials
7 Responsible only for a small portion of the total
14 Responsible for a substantial portion of the total
20 Responsible for all (or nearly all) records which can be identified/located/acquired

Responding Library_____

10. The scope of mandated library responsibility for collecting unofficial institutional history is: (Please check the appropriate level.)

    7 Not responsible for collecting/maintaining/preserving any materials
    5 Responsible only for a small portion of the total
    13 Responsible for a substantial portion of the total
    17 Responsible for all (or nearly all) records which can be identified/located/acquired

11. Scope of official institutional records collected by the archives beyond those which it is mandated to collect is: (Please check the appropriate level.)

    22 Collects all available materials which support research on the history and development of the institution.
    13 Collects a substantial portion of those available.
    6 Collects a small portion of those available.
    2 Does not collect any significant portion of the total available.

12. Scope of the unofficial institutional history collected by the archives beyond those which it is mandatedto collect is: (Please check the appropriate level.)

    20 Collects all available materials which support research on the history and development of the institution.
    15 Collects a substantial portion of those available.
    4 Collects a small portion of those available.
    3 Does not collect any significant portion of the total available.

13. Scope of the archives collection (other than reference tools and finding aids) in addition to the official records and unofficial history is: (Please check the appropriate level.)

    37 No other material collected
    23 Extra-university manuscripts collected (i.e., non-literary Mss.)
    9 Literary Mss. collected
    21 Other (Please briefly indicate the other types of material which are collected.))

_____

_____

_____

_____

Responding Library_____

14. Briefly describe the size of the archives collections (Any convenient measure such as linear feet, record groups, etc.)

15. STAFFING (Please report in Full Time Equivalents)

34.58 Professional Librarians
35.2 Professional Archivists(who are not librarians)
1/4 Professional Conservators(who are neither librarians or archivists)
5.6 Other professionals not included above. (Please specify their profession)_____

_____

_____

15.69 Para-professionals (Please specify their professional affinity)_____

_____

_____

11.38 Number of technical staff (Please specify their occupational specialty)_____

_____

_____

_____

30.15 Number of clerical/support staff

75.81 Number of student assistants/interns

16. What percentage of salaries and wages for the above staff are from special, earmarked funds which may only be used to support the current activities.

___%

Responding Library_____

17. Is the library-managed archives unit related formally to a comprehensive records management program implemented by the parent institution?

21 Yes
16 No, but such a program does exist.
5 No, because no such program is in place.

18. Is the library-managed archives program related INFORMALLY to a records management program implemented by the parent institution?

8 Yes
18 No

19. If there are any formal or informal relationships between the library-based archives and a records management program, on what problems/issues do they interact?_____

_____

_____

_____

RETURNING THE SURVEY

We also are requesting readily-available documents that describe your archives; operations -- planning documents, periodic reports, descriptive materials, budgets (past or future), organization charts, etc.

If you have questions about the survey or the accompanying documents, please call Maxine Sitts 202/232-8656.

Return all materials by October 14, 1983 to:
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Washington, D.C. 20036

INFORMATION AND RECORD-KEEPING NEEDS OF THE UNIVERSITY OF CONNECTICUT

Final Report of the
University Records Survey Project
1981 - 1983

Prepared by

Randall C. Jimerson
University Archivist

Daria D'Arienzo
Records Survey Coordinator

Summary: The University Records Survey has tested archival approaches to resolve the University's urgent record-keeping and information needs. With additional staff and resources, an expanded University Archives program could provide valuable research and administrative services to the entire University community.

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The University Records Survey

Findings and Results
1. Permanent Records
2. Disposition of Records
3. Filing Systems
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INTRODUCTION

The effective administration of a large organization, such as the University of Connecticut, depends on efficient systems of communication and access to information. Information is the University's greatest resource. This has always been acknowledged in regard to the instructional and research missions of the University. It is also true from the administrative and fiscal perspectives. Administrative and clerical staff members constantly produce, handle, disseminate, and store information, usually in the form of paper records. The efficient management of records is necessary in order to provide quick, efficient access to information.

The United States in recent decades has shifted from an industrial society to an "information society," as John Naisbitt points out in his recent best-seller, *Megatrends*. Information is now the major strategic resource affecting the national economy. Despite advances in computer technology, we still face increasing problems in managing information and paper records. "We are drowning in information . . . but starved for knowledge," Naisbitt reports. Our increasing reliance on information and the resultant increase in personal communications have produced a tidal wave of paper records which threatens to flood every administrative, fiscal, and academic office.

The information society increasingly depends on information professionals to control this valuable resource, to promote efficient handling of records, to ensure adequate documentation of activities, and to provide ready access to information. Because of their experience in managing records, archivists can provide valuable assistance in each of these areas.

The University Records Survey has applied archival approaches to meet the information and record-keeping needs of University of Connecticut administrative and academic offices. In order to develop a comprehensive plan for the University's archival program, the University Archivist in 1981 obtained a matching grant from the National Historical Publications and Records Commission. The University Records Survey has examined the University Archives both as an

agency to preserve historical records and provide research assistance, and as a potential administrative service agency.

A university archives is an information resource center which functions as the official memory-bank of the institution. The archives serves both researchers and administrative staff. Its primary functions are to identify, collect, and preserve significant historical documentation of the institution's major activities and programs; to arrange and describe these materials; and to provide reference and information services for students, faculty, administrative staff, and public researchers. The archives preserves early documents of the university, but it also collects current publications and departmental annual reports. As a central repository for official records of historical value, the archives preserves and provides access to the university's historical records.

The University of Connecticut Archives is administered by the University Library's Historical Manuscripts and Archives Division, which was established in 1979. The Division's responsibility for collecting official University records is described in the Laws and Bylaws, eleventh edition, Section XII.B.6,i, and in a memorandum issued by the President on March 3, 1980 (see Appendix). In addition to maintaining the University Archives, the Division also administers a program to collect manuscript sources documenting the history of Connecticut. Important collections include records of business firms, labor organizations, public affairs groups, and public officials, including Audrey Beck, Robert N. Giaimo, and Chase Going Woodhouse. Historical Manuscripts and Archives is one of only three repositories collecting manuscripts state-wide, and is the only public agency actively collecting such materials.

The primary goal of the University Records Survey has been to develop a solid foundation on which to build an active and comprehensive University Archives. The project has enabled us to locate valuable historical records for the Archives, to identify the University's major record-keeping and information needs, and to test archival solutions to these problems. If the University Archives is to fulfill its mission to preserve historical information, it must begin where records are created in identifying historical documents and developing an ongoing program for current and inactive records.

The University of Connecticut urgently needs an effective and efficient system for controlling the vast quantities of information handled daily by administrative and academic offices. As this report will indicate, the procedures we have tested do meet these needs, but in order to continue this program, additional staff and resources must be appropriated. As the University develops a major new automated records system, these concerns become increasingly significant.

THE UNIVERSITY RECORDS SURVEY

The University Records Survey has been a two-year record-keeping assessment project, designed and administered by the Historical Manuscripts and Archives Division of the University Library. The project was funded by a matching grant from the National Historical Publications and Records Commission, a division of the National Archives and Records Service, and contributions by ten University administrative offices, divisions and schools.

The principal goals of the University Records Survey have been to locate and preserve archival materials documenting the history and development of the University of Connecticut, to obtain an overview of information management practices in University offices, to identify and assess current record keeping needs, and to test archival solutions for information problems. In order to meet these broad objectives, the project staff visited 250 offices at the Storrs campus, the Health Center, the School of Law and the Avery Point campus, examining records and information concerns.

The Historical Manuscripts and Archives Division undertook this project in order to establish a solid foundation on which to build an efficient and comprehensive University Archives. The first phase of the project included planning, meetings with key University officials, and publicity. Most significantly, the Vice President for Academic Affairs, acting on behalf of the President, distributed a memorandum authorizing University Records Survey staff to examine files and interview University personnel. Survey staff completed a total of 250 surveys or on-site informational visits to University offices. Staff examined both current and inactive records in order to determine the existing files organization, quantity of files, content and use of materials, and their annual accumulation. Records information forms and summary sheets were completed for more than 2,500 series or file units, representing more than 20,000 linear feet of active and inactive files.

Virtually all central administrative offices, academic departments and major student offices at the Storrs campus were surveyed. Visits to the administrative offices at the Avery Point campus were used to examine record-keeping practices at the regional campuses and to identify historical materials. The surveys at the School of Law concentrated on identifying records needed

to document the School's history. A separate report to the Dean of the School of Law recommends establishing a School of Law Archives Reference Center. At the Health Center, the project staff visited central administrative, academic, and financial offices, and examined storage areas. Lack of efficient, controlled storage space was the major concern expressed by staff in almost every office at the Health Center.

Visits to University offices and storage areas have uncovered significant historical materials. More than 500 cubic feet of archival records have been transferred to Historical Manuscripts and Archives, including early files from the Experiment Station, Cooperative Extension Service, Office of Public Information, Office of the President, and Board of Trustees minutes. These records are being organized according to archival principles and prepared for research use. The collection and cataloging of current University publications has also received high priority.

In order to determine records retention requirements, the project staff has examined a dozen Federal and State publications and discussed these issues with the Internal Auditor, the University Attorney, and the State Public Records Administrator. Project staff have also provided important services to office staff, including advice on filing systems, disposition of records, storage and identification of historical materials. These and other activities are described in the section "Findings and Results."

The University Records Survey has assembled the first detailed overview ever taken of the University's official records, and has made office staff aware of record-keeping procedures and the importance of preserving valuable records. The response to the Records Survey has been highly favorable. Office managers and secretaries alike have expressed concern over the lack of formalized record-keeping guidelines in the University. Their frustration in managing the flood of paper was expressed by one secretary, who said, "The paperwork in the University is enough to drive you crazy sometimes." Throughout the University, office staff asked for information about what records they could discard, what material was historical and should be saved, how to organize their files more efficiently, how to find requested information without extensive searching, where to store inactive records, and who to contact for information about past University policies and activities. Answering such questions was an important service provided by the University Records Survey.

FINDINGS AND RESULTS

The University Records Survey has discovered that staff in most University offices face increasingly difficult problems in managing the flood of paperwork which they handle daily. Most of these information and record-keeping problems relate to two basic needs:

(1) identification and preservation of valuable records; and

(2) access to vital information.

The problems described in this report have a major impact on the efficiency of administrative and clerical operations, the University's ability to fulfill legal and fiscal requirements for record-keeping, the efficiency of access to information, and the adequate documentation of University policies, programs, activities, and accomplishments.

1. Permanent Records

In the March 3, 1980, memorandum from President DiBiaggio, the University stated its responsibility to ensure "the preservation of documents reflecting its origins and development and the activities and achievements of its officers, employees, and students." The University Records Survey is the first systematic approach ever taken to identify and preserve these permanent records. The findings of the project indicate that most administrative and clerical staff are unable to identify the historical significance of even their own records. Those who do recognize the value of their records often do not know how to preserve them or who to ask for advice. There is a clear need for someone with historical training to maintain a broad overview of University records in order to identify permanent historically-valuable documents and to ensure the preservation of this recorded information.

This is part of the basic mission of the University Archives. The survey of offices and storage areas has located many older historical records, dating from the founding of the institution in 1881, including some materials which current office staff did not even know about. The project staff also identified records in active office files which have historical significance and and should eventually be sent to the Archives. During the two-year project,

a total of more than 500 cubic feet of historical records has been transferred to the Archives. More than 220 cubic feet of archival records have been arranged, and finding aids have been prepared for most of these record groups. The project has also increased the number of departments and divisions which regularly send publications, annual reports, and minutes to the University Archives, which keeps the official copy of such materials. One of the important results of the Records Survey has been to improve the visibility of the University Archives as the central repository for non-current official records which have historical significance. This has enhanced the Archives' ability to ensure that permanent historical records of the University are being preserved.

The identification and preservation of permanent archival records was the major concern expressed by the dean of the School of Law. The Records Survey report to the dean recommends establishing an Archives Reference Center at the School of Law and lists the most significant materials to be included. Project staff have also advised the Health Center library director on issues relating to their collection of publications, reports, and documents for the Health Center archives. These are two important models for de-centralized archives at regional and professional school campuses of the University.

2. Disposition of Records

Each staff member responsible for maintaining official files needs guidelines to determine how long records should be retained, in the office or in storage, before being either destroyed or transferred to the Archives. Since only about 5% of all University records have permanent historical value, most records should be destroyed as soon as legal, fiscal, or administrative requirements have been met. The Internal Auditor has prepared retention schedules for most financial records, in accordance with State procedures. The vast majority of University records, however, are not covered by such schedules, and staff in non-financial offices often do not know about those schedules which do exist. Many staff members expressed fear that if materials were discarded, they might later be requested. As a result, many offices are crammed full of paperwork, with bulging file cabinets and loose papers piled high on top. Information about requirements for disposing of records is urgently needed to reduce this flood of paper and to improve access to important information in the files.

Based on detailed information gathered about records in 250 University offices, the project staff has reviewed Federal and State requirements, University policies, and State records management procedures in order to prepare guidelines for the University staff on disposition of records. This work has been done in cooperation with the Internal Auditor, and is not intended to supersede his authority for records management. In many offices records could be immediately identified for destruction. One office had kept five file drawers of travel authorizations, dating from the 1940's. The project staff informed the staff that they could, at last, relieve their crowded office of these useless records.

In order to provide office staff with information about records disposition, the Records Survey staff has drafted a "Filing and Record-keeping Manual." One half of the manual is devoted to disposition questions, including a summary of current University records retention schedules, State records management policies and procedures, and requirements concerning which records must be handled according to formal retention schedules. The manual also provides broad guidelines for retention periods and disposition of "non-record" copies and other records not subject to retention schedules. This manual, once it is printed and distributed, will be an important contribution of the University Records Survey in providing information needed by office staff in order to control the voluminous records which crowd their files, offices, and storage areas.

3. Filing Systems

Maintaining control over the paperwork which floods office files is a daily problem for University staff. The active files needed to conduct daily activities or obtain access to important information are often crammed full and poorly organized. In our busy offices, filing is all too often regarded as a routine chore with low priority. The results of this neglect are a backlog of unfiled papers, over-stuffed file drawers in which papers become lost or damaged, and serious delays in access to vital information.

Maintaining proper files is essential in documenting important University fiscal, administrative, and academic functions. Information must be readily accessible. One administrative official expressed a common problem when

looking for an important document: "I know we have it; I just can't put my finger on it." It took his secretary over an hour to find the requested document.

One of the major services offered by the University Records Survey has been assisting offices in redesigning their filing systems for more efficient retrieval of information. Several administrative offices have taken advantage of this service: the Vice President for Finance and Administration, the Vice President for Academic Affairs, and the Labor Relations office. Archival services include analyzing the problem, designing a unique file system to meet the specific needs of the unit, reviewing the system's implementation, and instructing the staff in filing procedures. Since only valuable material reaches these files, and the system is designed to meet access needs of the users, information is more easily retrieved.

The Records Survey found a University-wide need for better filing and record-keeping procedures. However, it is not possible to design individual filing systems for all University offices. The Records Survey staff has prepared the "Filing and Record-keeping Manual" to meet this need. This manual addresses the topics of files design, preparing records for filing, cross referencing, indexing, and retrieval of information. If printed for University-wide distribution, the manual will serve as a valuable practical reference tool for record-keeping staff in all administrative and academic offices.

4. Records Storage

Once records leave office files, those which are not immediately destroyed face an uncertain future in makeshift storage areas. Often this simply means that cartons are piled helter-skelter in attics and basements, which lack shelving, security, and easy access. One attic storage area could only be reached by climbing a ladder. In many cases, once records are sent to storage rooms, office staff do not even attempt to retrieve them. Even in better-organized storage areas, retrieval problems waste valuable staff time and contribute to lowering morale.

There is thus a clear need, throughout the University, for improved temporary records storage which is clean, secure, orderly, and accessible. Such storage areas could be used for records which must be retained for five

or more years in order to meet legal, fiscal or administrative requirements. Records which require frequent access should be maintained in the office. Historical and permanent records should be transferred to the University Archives as soon as their administrative use is complete.

Problems with records storage are particularly difficult at the Health Center. Valuable records are stored haphazardly in small closets and in the cyber-rail tunnel. A major portion of the University Records Survey report to the Vice President for Health Affairs relates to the problem of records storage, which was identified as the Health Center's major record-keeping need.

In order to demonstrate the advantages of controlled records storage, the project staff has established, on a temporary trial basis, a records center within the Historical Manuscripts and Archives stacks. The offices participating in this experiment--Accounts Payable, Bursar, Internal Budget, and Payroll--transferred their records from a basement storage room in Gulley Hall, which could then be converted to valuable office space. The records center provides systematic, temporary storage for inactive records which have been scheduled by the Internal Auditor for later destruction. Proper procedures for orderly records storage in a records center are summarized in the "Filing and Record-keeping Manual."

Staff members from the participating offices have been enthusiastic about the improved access, retrieval, control, and security which the records center provides for storing their materials. They have been able to remove inactive records from their crowded offices, to retrieve them easily from the records center, and to reduce the time spent in gaining access to vital information. Order and efficiency have replaced chaos and confusion.

5. Information Resource Center

The ultimate purpose of preserving historical records is to provide access to significant information about University policies, programs, and activities, including those of departments, staff, and students. Administrative staff frequently need such information for planning and other uses, in addition to its value for student papers and scholarly research. The

staff need information from their archival records, such as annual reports, and need to know where to find general University information, such as University Senate minutes or catalogues.

This information service is part of the basic mission of the University Archives. Archival staff can answer requests for specific information from the archival records, and can assist University staff and other researchers in using the publications and records during scheduled public service hours. During the past two years, more than 530 researchers have visited Historical Manuscripts and Archives to examine archival materials, in addition to researchers using non-University manuscripts.

Archival sources have been consulted for a wide range of uses, including checking graduation requirements, contacting alumni for fund-raising campaigns, and examining the development of academic programs. The Archives also makes available photographs for publications and promotional materials, such as Centennial histories for the School of Family Studies, the School of Nursing, and the soccer program. Archival materials can be copied or borrowed for special exhibits, such as the William Benton Museum of Art Centennial exhibit and the Class of 1933 Fiftieth Reunion exhibit.

As the official repository for non-current records with permanent historical value, the University Archives is the central point for collecting and disseminating information about University history and on-going programs. The Archives can provide direct access to historical information and promote its use. As the Archives gains greater visibility, University staff will know where to look for important official records and will have a resource person who can answer many of their specific questions. In a fully-staffed University Archives, this information service can be a major contribution to University administrative and academic offices.

6. Related Information Services

The University Records Survey staff also examined three important information services in which archival expertise could provide valuable assistance. These issues are closely related to archival responsibilities for preserving records and providing access to information. These related information

services, like the University Archives itself, are University-wide programs which require central administrative coordination.

a) Vital Records

Vital records are those which contain any information which is essential for the University to continue daily operations or meet its major fiscal, legal, administrative, or educational obligations. Such records must be carefully protected against loss, destruction, and disasters. They include both active and inactive records -- from unpaid vouchers to student transcripts to minutes of the Board of Trustees. The purpose of a vital records protection plan is to protect essential information. This can be done through off-site storage, security microfilming, duplication of machine-readable data, or other means.

The University of Connecticut has never developed a broad-based plan to protect its vital records. As a result, a minor fire in one key records office could result in complicated legal problems or major financial losses for the University. The University Archives could assist in identifying vital records which require protection and provide advice on storage and protection of such records. A vital records task force should include fiscal, legal, administrative, academic, and archival representatives, who would develop an on-going plan to identify and protect the University's vital information sources.

b) Automation

The University's five year plan to automate major records systems will greatly improve record-keeping and access to information in many offices, but it will not solve all of our records problems. Although some offices will become virtually "paperless," most University staff will continue to produce, handle, distribute, and store paper records. Automation does not eliminate other record-keeping problems. Information, in whatever format it exists, must be carefully managed. Machine-readable information still must be evaluated for disposition, stored in order to meet legal and administrative requirements, and preserved permanently, if it has historical significance.

These are all concerns with which the Archives must be involved. As the agency responsible for preserving permanent records, the Archives should be closely associated with any current record-keeping system. Archivists can

identify historical information stored in machine-readable form, plan for permanent preservation of such data in an appropriate format, and ensure the adequate documentation of University policies, programs, and activities. In designing new automated systems and developing record-keeping policies, the University Archivist should be consulted.

c) Micrographics

Micrographics is an important technological tool for reducing the bulk of paper records and providing greater security. The University Records Survey has found, however, that the use of microforms by University offices has been haphazard and unplanned. The lack of a centralized microfilming service - or even a central source for micrographics information - has resulted in purchasing equipment which does not meet offices' needs and using outside vendors, whose products are not always acceptable. The film supplied to one office is incompatible with their camera, and filming is done by poorly trained students. Several offices have microfilm equipment which is not used, either because a filming project has been abandoned or because the equipment is inappropriate for their needs. The results are waste and confusion.

A coordinated micrographics program could reduce waste, inefficiency, duplication, and technical incompatibility. It could reduce bulky records to manageable size, provide security copies of vital records, and, especially when linked to computer systems, greatly improve access to information. The Registrar's Office, for example, designed and implemented an excellent microfiche program for academic records, which meets their space limitations and access needs. Microfilming is not a panacea, however. It is expensive and cumbersome. In order to be efficient, a micrographics system must be carefully planned and highly selective in what is filmed.

The University Archives could assist in developing a micrographics system, which staff in several major offices said would be very valuable. Archivists can provide advice on selecting records to be filmed, based on retention needs, administrative use, and historical value. Some larger university archives have even assumed responsibility for coordinating a university-wide microfilming service. At the least, the archivist should be consulted in designing any new microfilming applications for the University of Connecticut.

RECOMMENDATIONS

The University of Connecticut Records Survey project has found that the University urgently needs a more efficient system for controlling the vast quantities of paperwork and information handled daily by administrative and academic staff. Through testing archival approaches to meeting these needs, the project has demonstrated that the University Archives could provide valuable services to offices throughout the University.

The major recommendation of the University Records Survey project is that the University expand its archival program in order to provide both research and administrative services to the entire University community. This would require modest additional investments in staff, facilities, and equipment, which will be discussed below. With such resources, the Archives could provide the following administrative services:

1. **Permanent Records.** Given additional staff, the Historical Manuscripts and Archives Division could undertake a more active effort to ensure that the University's programs and activities are adequately documented and that its historical records are protected. This could include an on-going effort to locate, solicit, and collect official copies of current minutes of meetings, reports, and publications, in addition to non-current departmental and office records, faculty papers, and related materials.

2. **Disposition of Records.** An expanded archival staff could also review proposed retention schedules to identify materials which should be preserved for their historical significance. Eventually, the University might consider transferring records management authority and coordination to the Archives, if its staff were sufficient to make this a more active program.

3. **Filing Systems.** The Archives staff could provide advice to offices seeking to re-design their filing systems or improve access to their files. This service could also include publication and distribution of the "Filing and Record-keeping Manual" prepared by the Records Survey staff.

4. **Records Storage.** The Historical Manuscripts and Archives Division could make one level of its stacks a permanent records center serving several University offices, if it had enough staff to carry out this added responsibility. The Archives staff could also advise offices on designing and administering records storage centers in their own buildings.

5. **Information Resource Center.** With additional staff, Historical Manuscripts and Archives could expand its public reference hours beyond the current ten hours per week, in order to improve access to archival materials. Information could be provided more readily for offices requesting it by telephone. The Archives could also greatly expand its information services by developing a more extensive research collection and by publicizing its services through press releases, exhibits, and public programs.

6. **Related Information Services.** As one of the University's central information services, the Archives should be consulted on any issues which involve record-keeping and information needs. This would be especially important in regard to automated information systems, micrographics, and the need to identify and protect vital records.

An expanded University Archives program, such as that outlined in these recommendations, could provide many valuable services urgently needed by administrative, academic, and clerical staff throughout the University. The basic mission of the Historical Manuscripts and Archives Division is to collect, organize, and service original source materials which document the history of the University and the history of Connecticut, particularly in the areas of business, labor, politics, and ethnicity. The Division contacts and negotiates agreements with potential donors throughout the state, prepares exhibits and public programs, and represents the University in many professional meetings and committees. In addition, it serves as a teaching laboratory for Public History and Archival Management students and others interested in archival work.

In order to provide the administrative services outlined in this report's recommendations, additional staff and resources must be provided. The current staff of one professional archivist and several work-study students is inadequate for providing more than basic levels of current services. Without increased staff and resources, the recommendations made in this report can not be fulfilled. Major paperwork and information problems will remain unresolved.

In order to expand the University's archival services, the following resources must be allocated to the Historical Manuscripts and Archives Division:

1. Two professional archivists, to provide reference service, to advise offices on filing and disposition of records, to collect and organize permanent records, and to provide other services recommended in this report. (This would, in effect, continue the two positions funded by the project grant.)

2. One secretary or administrative assistant, to provide support services and coordinate office activities. (This would upgrade the project's half-time position to a full-time position).

3. Additional archival supplies and equipment, such as acid-free boxes and folders, to store and protect archival materials.

4. Temperature and humidity controls for the Wilbur Cross Building stacks, in order to reduce fluctuations in environmental conditions which cause rapid deterioration of valuable paper, film, and taped records. One major Connecticut business firm sent its valuable historical records to California, primarily because the Historical Manuscripts and Archives Division stacks lacked proper environmental controls. Current facilities are inadequate to ensure permanent protection for valuable University documents as well.

With these resources, the Historical Manuscripts and Archives Division can provide excellent care for University Archives source materials and important services for administrative, clerical, and academic staff. The expanded archival program could be phased in over a period of three to four years. With each new archival position, a broader range of administrative and research services could be provided. The University of Connecticut could receive national recognition for developing an innovative program to coordinate archival research and administrative services with our new automated record-keeping and information systems. The University's increased support would also give it a competitive advantage in securing further grant support to augment its archival program.

Above all, such support would enable the University Archives to assist hundreds of office staff members in meeting the challenges they face daily in controlling the flood of paperwork and information. These concerns are vital for the efficient administration of the University of Connecticut.

APPENDIX

University Records Survey Staff:

Randall Jimerson
Project Director

Daria D'Arienzo
Records Survey Coordinator

Lorraine F. Perry
Records Survey Assistant

Paulette Traichel
Secretary

Contributing Offices:

Academic Affairs
Controller
Extended and Continuing Education
Graduate School
Health Affairs
Institute of Materials Science
Research Foundation
School of Law
Student Affairs and Services
University Library

OFFICE OF THE PRESIDENT

March 3, 1980

TO: Members of the University Staff

The University of Connecticut Archives were officially established as a part of the University Library in 1967. At that time, Provost Edward Gant circulated a letter authorizing the Archives to acquire and administer all records, documents, and reference materials pertaining to the history of the University.

As the University of Connecticut approaches its Centennial, we are all taking renewed interest in the proud history of "Connecticut's Own University." The attached announcement describes the role of the Archives in preserving our documentary heritage. At the beginning of our second century, we must commit oursevles to maintaining an accurate record of the activities and achievements of the University, its staff, and its students.

The success of the Archives program depends on the cooperation of all members of the community who have responsibility for office files and publications. With your support, the valuable documents found in every office and department on campus can be preserved for use by future generations in examining the contributions made by Connecticut's great public University.

Sincerely yours,

John A. DiBiaggio

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attachment

UNIVERSITY OF CONNECTICUT

UNIVERSITY LIBRARY

UNIVERSITY OF CONNECTICUT ARCHIVES

The University of Connecticut, through the University Library, recognizes its responsibility to the academic community and to the public for the preservation of documents reflecting its origins and development and the activities and achievements of its officers, employees, and students. In order to meet this obligation, the University of Connecticut Archives has been designated the official repository for all publications and non-current files of the University's administrative offices, academic departments, committees, and student groups. Documentation is sought for all aspects of campus activities.

In 1967, Provost Edward Gant announced the establishment of the Archives in a letter to all members of the University staff. Under the direction of the University Library's Special Collections Department, the Archives became an important source of information about the institution's history. Current holdings include minutes and records of the University Senate, schools, colleges, and committees; files of the Office of the President and other offices and departments; official reports; publications of the University and its divisions; catalogues and bulletins; photographs; and audio tapes of campus events. In 1979 the University Library expanded the archival program by establishing the Department of Historical Manuscripts and Archives, by designating space in the Wilbur Cross Library for storing and servicing archival materials, and by appointing a professional archivist to direct the program.

The University of Connecticut Archives has two equally important objectives: to preserve material of research or historical value; and to assist the administrative and academic staff. Archival services include: consultation on filing systems and procedures; relieving crowded offices of inactive records; assisting in determining when certain types of records can be destroyed; providing space and custody for material that should be preserved; organizing and preparing guides for archival collections; and providing reference service for offices requesting information from their inactive files in the Archives. In order to ensure that valuable documents will be preserved in the Archives, all staff members responsible for office files are requested to observe the following guidelines concerning University records:

Office Files. All files created by offices, departments, committees, and student groups in their official capacities are property of the University. Files no longer needed for administrative, legal, or fiscal purposes should be examined by the University's Records Manager (Hugh Stack) or the University Archivist (Randall Jimerson). They will consult with the person responsible for the files to determine whether the records should be (a) destroyed, (b) placed in temporary storage for later destruction, or (c) transferred to the Archives. Any office requiring additional filing space should consult the University Archivist for assistance. Access by others to most office files will be restricted for a period of time to be determined by the person responsible for the files in consultation with the University Archivist.

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Publications. Two copies of all University-supported publications should be sent to the Archives. Please add the Archives to all campus mailing lists for brochures, programs, announcements, and other publications.

Minutes and Reports. Two copies of all minutes and reports of governing boards, schools, colleges, committees, and other official bodies of the University should be sent to the Archives. (If only one copy is available, it should be sent.) One of these copies will become the official copy of the minutes and reports.

Photographs and Scrapbooks. The Archives seeks scrapbooks and photographs, whether University-produced or otherwise, which document any aspects of University functions, activities, personnel, students, buildings, or campus scenes.

Student and Alumni Records. Materials concerning student activities and student and alumni groups have particular importance in documenting University history. Officers of student clubs and organizations should attempt to produce records of their activities and to preserve these materials for the Archives. Alumni can contribute their student notebooks and papers, scrapbooks, photographs, and memorabilia.

Faculty and Staff Papers. Diaries, lecture notes, professional correspondence, and unpublished manuscripts of members of the faculty and staff may be included in the Archives. Although materials not created in an official capacity are regarded as personal papers, they often contain valuable information about the University. Faculty publications and reprints will be collected only if they are donated as part of the author's personal or professional papers. The University Archivist will be glad to discuss provisions to ensure confidentiality of personal papers.

For further information, please contact:

Randall Jimerson, University Archivist
Wilbur Cross Library, Box U-5D
Telephone 486-2893

DRAFT

PROPOSAL FOR A

COMPREHENSIVE RECORDS PROGRAM

FOR

TEXAS A&M

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April, 1983

SUMMARY

For the first three quarters of its existence, Texas A&M* did not have a program to preserve its essential or archival records. In 1950 the University Archives was established to collect historically important records so that an accurate centennial history could be written. After the initial funds provided by the Association of Former Students were expended, the Archives was placed within the University Library. Since then the Library has funded out of its limited resources Texas A&M's modest efforts at a records program. This is rapidly becoming impossible both physically and financially.

Only through a comprehensive records program as is outlined herein can Texas A&M adequately cope with the explosion of records brought about by recent growth and governmental regulations. Enrollment has more than doubled in the last decade; and administration, faculty, and staff have grown proportionately. The quantity of records produced has also increased tremendously.

In this proposal recommendations concerning a comprehensive records program are offered; reasons for implementing one are given; benefits that will result from it are identified; and staff, space, equipment, and fiscal requirements for the program are presented.

I. RECOMMENDATIONS

A. Texas A&M should formally implement a comprehensive records program as outlined herein.

B. The records program should be administered within the Archives Division of the University Library.

C. In keeping with Texas A&M's goal of excellence in all areas, the Archives should be adequately funded so as to provide the best possible comprehensive records program.

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*Throughout this document, Texas A&M should be read as Texas A&M University and the System parts headquartered at College Station.

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II. REASONS FOR A RECORDS PROGRAM

A. Legal Requirements

In establishing the Records Management Division of the Texas State Library the Legislature required that all state institutions "maintain an active, continuing program for the economical and efficient management of the records of the agency." (Vernon's Civil Statutes, Article 5441a) The Preservation of Essential Records Act (Vernon's Civil Statutes, Article 5441d) instituted further requirements concerning the selection, storage, and preservation of records essential to the conduct of an institution's official business or as evidence of that business. Finally, the Open Records Act (Vernon's Civil Statutes, Atricle 6252-17a) required that public records be kept in a systematic fashion, that they be properly preserved, and that they be made available to the public.

B. Preservation of Essential Records

A comprehensive records program is the only way that the preservation of the essential records of Texas A&M can be assured. Components of such a program include an Archives to house all of the permanently valuable records, A Records Center to house records which are no longer used frequently by administrative units but must be retained for a specific period of time to fulfill legal requirements, and a centralized preservation microfilm unit to copy high volume low use records and other records whose physical condition prevents their being preserved in their original format. Detailed records retention and dispositon schedules must be prepared for each campus unit to establish guidelines for the transfer of records to the Archives or the Records Center and for the timely destruction of records that have no value.

C. Timely Disposal of Non-essential Records

A comprehensive records program will assure the timely disposition of records which do not need to be kept. It will put an end to the indiscriminate destruction of all old records to make room for new ones. Rather it will provide for the scheduled elimination of records of no value and the scheduled preservation of records with permanent value.

III. BENEFITS

A. Make Texas A&M a Leader

A comprehensive records program will be another step towards making Texas A&M an outstanding institution. Implementation of the program out-

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lined herein would make Texas A&M among the best academic institutions in caring for its records.

B. Space Savings

Transfer of low use records from administrative offices into either the Archives for permanent retention or the Records Center for temporary storage as soon as the transfer can be accomplished will result in saving space in adminstrative areas. More records per square foot of floor space can be housed in either an Archives or a Records Center than in an office filing cabinet. This will result in an overall saving of space. The timely destruction of records of no value will result in additional saving of space.

C. Equipment Savings

Removing records from filing cabinets in a regular, systematic fashion and placing them in the Archives or Records Center will result in a reduction in the number of new filing cabinets needed. The contents of a full five drawer filing cabinet can be housed in ten Archives or Records Center boxes at a cost of approximately $20.00. A centralized microfilming facility that uses its equipment on a full time basis will save on equipment since individual units will not have to purchase such equipment and use it occasionally. Also there will be less filming of duplicate records and of records of only temporary value than is done now.

D. Improved Efficiency

If administrative offices transfer records out of their files on a regular, systematic basis rather than haphazzardly weed the files when the cabinets are full and they have no funds to purchase additional cabinets, the efficiency of filing and retreiving materials from their own files will improve. When records retention and disposition schedules are prepared and followed, there will never be a question as to the location of a particular file. The schedules will indicate whether it is in the office of origin, the Records center, or the Archives or whether it has been destroyed.

E. Improved Documentation

When records retention and disposition schedules are prepared and followed, all records of administrative, fiscal, historical, and legal value will be preserved for the appropriate length of time. Conversely, those records with no value will be eliminated from the files in an orderly fashion. As a result, the documentation of the activities, actions, and policies of Texas A&M will be substantially improved.

F. Centralized Management

A comprehensive records program administered by a single office is the only method by which the production, preservation, and destruction of records can be managed. Under the current situation, individual units periodically clear out their files when their cabinets are full or when they move from one building to another. Often the person who decides what is to be kept and what is to be destroyed lacks the necessary perspective to properly appraise the records. Some guidance is provided in the Archives Manual, which has been distributed throughout the campus, and in Section D.3 of the Administrative Policy and Reporting Manual. The Archives staff is always willing to offer assistance and guidance on what to do with records. These measures are inadequate partially because offices are either not familiar with the Manual, Section D.3, and the services provided by the Archives; or they choose to ignore them. Detailed records retention and disposition schedules mutually agreed upon by the Archives and the various units, plus a larger staff in the Archives, are needed to adequately care for the records of Texas A&M.

G. Centralized Access

If all records deemed to have permanent value are transferred to the Archives on schedule and those deemed to have temporary value are placed in the Records Center, then anyone needing access to records can find any but the most recent ones in either the Archives or the Records Center. Thus there would be a central point of access, and the terms of access would be uniform. Most offices do not have suitable facilities for providing user access to records in their custody, but the Open Records Act requires them to provide such access. The Archives or the Records Center will provide suitable facilities for granting access.

H. Meet Legal Requirements

Only a comprehensive records program will enable Texas A&M to meet all of the legal requirements concerning the administration, care, preservation, and use of its records.

IV. REQUIREMENTS

A. Personnel

1. Records Manager--Should work with each office in preparing detailed records retention and disposition schedules and revising them as needed and should be responsible for the housing and servicing of materials stored

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in the Records Center. Should report to the Archivist and should be budgeted at $30,000 annually.

2. Microfilm Archivist--Should be responsible for filming such records as the Archivist, Associate Archivist, and Records Manager, working in conjunction with the several administrative offices deem appropriate to be preserved on film. Should report to the Archivist and be budgeted at $20,000 annually.

3. Support Staff--The Records Manager should have a full time secretary and student assistants to aid in caring for those materials housed in the Records Center. The Microfilm Archivist should have student assistants to film records. These positions should be budgeted at $30,000 annually.

4. Summary Table of Staff Needed (FTE)

Professional/Faculty	Classified	Student
2	1	3

B. Space

1. Records Center Space--Office space for the Records Manager and a secretary as well as work space for the student assistants would be required immediately. Three to four thousand square feet of space and appropriate shelving would be needed in the Records Center for the storage of materials between the time they are removed from the offices of origin and they can be destroyed.

2. Microfilming Space--The Microfilm Archivist should have approximately 750 square feet for an office, work space for two cameras, and an area in which to temporarily house the records being filmed.

C. Equipment

1. Office Equipment--Two executive desks and chairs, one secretarial desk with typing arm, one secretarial chair, four work tables, and ten chairs for student workers will be needed for new staff.

2. Shelving--Shelving to hold up to 50,000 feet of records will be needed ultimately in the Records Center.

3. Microfilm--At least one camera will be needed to film records. One reader and one reader printer will be needed. Two film storage cabinets would be needed immediately. Equipment to cut the microfilm and place it in jackets so that microfiche copied can be produced will be necessary.

4. Photocopier--A photocopy machine to copy materials for researchers and for administrative offices as well as records schedules and collection inventories will be needed.

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5. Microcomputer--A microcomputer with 64K memory and word processing capabilities will be needed to produce, store, and update records retention and dispositon schedules; to keep up with scheduled destruction of records and timely transfer of records to the Records Center or the Archives; and to aid in producing office correspondence. Three terminals and a letter quality printer will also be needed.

D. Funding

1. Supplies--Special acid free boxes and folders are needed to preserve all materials kept in the Archives. General supplies such as paper, pens, pencils, envelopes, stationery, typewriter ribbons, office forms, microfilm, film processing, computer discs, and other things will be needed. It is likely that $6,000 would be needed for supplies annually.

2. Postage and Telephones--Postage would probably be around $500 per year. Eleven telephones and two lines including STSON-NET and WATS capabilities are needed. Probably $1,000 would be needed annually.

3. Travel--In order to keep up with the latest developments in their individual areas of responsibility, each professional should be provided funds to attend professional meetings. In addition, some funds should be available for the Archivist or the Associate Archivist to examine potential gifts or to pick up donated collections. Funds will also be needed to travel to units of System parts outside of College Station to examine existing records, prepare records retention and disposition schedules, and arrange for the transfer of permanently valuable records to the Archives. A total of $8,000 annually seems appropriate for this.

4. Equipment--The major expenditure for equipment will be at the establishment of the program with the creation of new positions and the inauguration of new services. Considering the amount of equipment needed, especially the stacks for the Records Center, it would probably require approximately $100,000. An annual appropriation of $2,000 will be needed to replace equipment as it wears out or to add microfilm storage cabinets as existing ones are filled.

5. Salaries and Wages--When all of the suggested positons are approved and filled, the total annual amount for salaries and wages will total approximately $80,000.

6. Summary of Funding Needs

a. Equipment needed to start the program (could be spread out over several years) $100,000

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b. Annual

Salaries and wages	$80,000
Supplies	6,000
Postage and telephones	1,500
Travel	8,000
Equipment	2,000
Total	$97,500

THE PENNSYLVANIA STATE UNIVERSITY

MODERNIZATION OF CENTRAL FILES

SYSTEM OVERVIEW

September 1982

Office of Information &
Administrative Services Coordination

FOREWORD

The Pennsylvania State University maintains a large number of document files but has no uniform policy to insure that vital data are appropriately stored and protected from damage, loss, and unauthorized usage. Moreover, there is no explicit records program to utilize available information systems technologies to economically maintain record archives so that a reasonable access can be provided to these historical data.

This document outlines the historical background, concept and implementation of the Central Files modernization project in Old Main. It is not an exhaustive exposition of each aspect of modernizing Central Files, but rather a guide to the concept that retrieval of valuable document is made more easily accessible to the different Administrative Units at Penn State in a more cost efficient manner. A more detailed description of the Central Files system characteristics, the flow of documents among the different Administrative Areas and the two retrieval centers (Central Files in Old Main and the Penn State Room at the library) for archival information, and the archival activity of the Central Office Support Services are outlined in "The Modernization of Central Files --Concepts & Procedures".

The main benefits of the current design are to improve service, reduce operating costs, and better utilize space presently occupied by the large volume of documents. This is accomplished by microfilming the archived documents and providing access of this valuable resource through a computerized micro-fiche index. Due to the usefulness and availability of the Central Files System in Old Main, it is planned that the microfiche index should encompass the historical documents presently archived in the Penn State Room. If is also suggested that there is merit in considering the expansion of the existing facilities to incorporate the records maintained by the various Colleges at Penn State.

We gratefully acknowledge the dedication and perseverance of the project team members: John Dorband (IASC), Edie Herron and Ron Wiser (Management Services), Gale Bowman, Ronnie Eckley & Jadine Burns (COSS), and Helen Petri (Central Files). Particularly, we appreciate the guidance, ideas and consideration of Ms. Patricia Rosdil and Mr. Charles Blunt without whom this project would not have been a reality. Acknowledgement is also due to Jean Cowher (IASC) who typed the final document.

Kamal A. Hazboun (IASC)
Leon J. Stout (PSR)

EXECUTIVE SUMMARY

Although electronic information technologies are being adopted widely at the Pennsylvania State University, the University will continue to manage a growing volume of paper records. This requirement stems from a legal need to retain appropriate physical evidence of business transactions as well as an interest in preserving documents of historical significance to Penn State.

The present method of filing paper records, however, is expensive, consumes valuable floor space, and is not always responsive to the office needs for retrieving relevant information. Moreover, the University does not currently manage its records systematically. There are more than 200 "record-creating" units at Penn State that have developed their own ad hoc programs without institutional guidance.

Historically, the University developed the Penn State Room and Central Files as two specialized depositories of document records. The Penn State Room preserves those records that have been judged by the different offices to have potential historical value. Central Files was developed to provide a lower-cost, semi-permanent storage for some "inactive" central administrative records. Occasionally these two records storage programs overlapped and materials were transferred from Central Files to the Penn State Room for permanent preservation. In general, however, the parallel operations did not satisfy the University's need for a low-cost records management program.

The recently completed system at Central Files in Old Main utilizes micrographics, word processing, and computer technologies to create a modern records system that will (a) save 90% of the file space used by paper records; (b) increase office awareness and access to vital information that is still pertinent to University operations; and (c) lower the operations costs for preserving administrative records. Most importantly, a systematic process is introduced for purging active files and determining the appropriate method of retaining the materials to protect the information (privacy and security) while providing appropriate access to those who need to re-use these materials in various institutional research efforts, etc. To provide a brief overview of the new system, the main steps are outlined:

1. Central Files contained some 820,000 documents in 9,100 files. Approximately 84% of these materials were microfilmed; about 11% of the filmed documents were also retained in the original. Of those materials that were not filmed (16%) about one third was discarded and the remaining two-thirds were transferred to the Penn State Room or kept by the Board of Trustees and the President's Office. Once the microfilming was validated to be correct and complete, the remaining files were destroyed.

2. Now that the first phase of the modernization of Central Files has been completed, the operation may be reopened to service administrative offices by preserving University archival records, through a modern, computer-indexed micrographics system.

3. As new materials are added to Central Files and filmed, two copies of the original microfilm are made and the master negative is stored in a vault for safekeeping. One working copy of the film is located in the recently formed Central Office Support Services within Old Main; the other copy is located in the Penn State Room.

4. The word processing system (IBM 5520) in Old Main is used to enter and temporarily store the document file descriptors and keywords in computer record format. During the data entry process an edit routine is activated to ensure the validity of the data. Periodically, the created records are transferred via a telephone line to the central computer at Management Services for updating the computer resident Master File.

5. The central administrative system (IBM 370/158) in Shields is used to create key-word indexes to provide a multi-point access for the microfilmed documents. Each index record may contain many different "key" words as well as the dates of the document file. All documents that are designated to be in the public domain will be referenced in indexes that is distributed to different using offices. Indexing to documents that are considered "private" is available to only those offices designated to have a need to know of these materials.

6. An operator and microfilm retrieval equipment, readers, and printers are available in the Central Office Support Services and the Penn State Room facilities to help office staff locate, view, and obtain hard-copy prints of pertinent archived materials as necessary.

7. The Central Office Support Services Operator will also be responsible for the data entry of index records microfilming coordination, and control of the archived documentation.

8. The microfilm index will also indicate which documents are retained in their original form within the Penn State Room

The system is more than twice as effective and responsive to the University need for vital and historical records management at less cost than was expended in the Operations of the hard-copy storage program in Central Files. It is estimated that the cost of the system development will provide as a one time cost, and $12,820 as an on-going yearly cost. A positive financial return on investment within the first 20 months of operation of the system*. Furthermore, the enhanced administrative benefits, as outlined above, cannot but improve the overall need for the modernization process.

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* In 1981, the yearly cost of personnel and fringe benefits were $35,193.

BACKGROUND ANALYSIS

Problem Statement

The growth of the University and government supported programs over the last fifty years has contributed to a tremendous proliferation of all University records -- student, academic, research, public service, physical plant, personnel, business and general administration. The University's more than 17,000 filing cabinets,[1] holding more than 125,000 cubic feet of records is obvious evidence of that growth. the primary cost of this "paper explosion" is the human cost -- the creation, use, dissemination, storage and retrieval of paper records. New technologies such as word-processing, electronic mail, teleconferencing and automated records will cut these costs in the future. but these innovations tend to overshadow the fact that most of our records will continue to be generated, used and stored in paper formats.

A number of University record-keeping systems have already made the switch from paper to machine-readable files, such as student and alumni records;[2] however, the general administrative record load will continue to be paper-based for a t least the next decade. The management of this record load is now reaching a juncture when change is both possible and needed.

Both governmental and corporate worlds have learned that the systematic and coordinated application of an archival and records management program can result in important financial returns. The provision of faster and more reliable service in our offices, the reduction of resources allocated to unnecessary records storage, and the increase in ease of access to the institutional information are all cost-related benefits. Beyond these there are more substantive issues as well.

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1. In 1977, The American Records Management Association estimated annual maintenance cost of a file cabinet of records at $350 (floor space, equipment and daily filing and operation costs).

2. A microfilm system was implemented in July 1972 at the Alumni Association. The system recovered 290 square feet of prime Old Main office space and lowered the yearly record handling costs by $1,600. Reference: Designing a Microfilm System by C.R. Blunt, The Office Magazine, May 1974.

The University recognizes that some materials of enduring value must be segregated from the mass of "administrivia" and preserved for future use. We require evidence of what actions have been taken by the officers of the University for guidance and information now and in the future. Retention of other types of records is legally mandated by state and federal governments. Still other types are needed for audit purposes. The University as an institution of higher learning also has a responsibility to preserve such records that may have research or historic value. By the large, these are the same records preserved for current and future administrative value as well. It is not possible to clearly distinguish between the two groups as today's administrative records become tomorrow's historical resources. Furthermore records without any present significance for administration can suddenly resume their importance when the need for precedents or when unsuspected problems arise.

Finally the autonomy of our state-related status frequently obscures our public character. As the institution receiving the largest state appropriation of any College or University in the commonwealth, we cannot forget our accountability to the public. The records of the state-owned colleges and universities are under the control and protection of the State Archives. Perhaps it is worthwhile to point out that two state-related universities, Pittsburgh and Temple, have already established an official archival policy for the preservation of their non-current records of permanent value. Is is logical to conclude that this university has a similar obligation to the State.

Our current situation in this regard is unsatisfactory and in fact chaotic and lacking central direction. Few of the more than 200 record-creating units in the University do more than either microfilm, keep or destroy all records indiscriminantly. Without records management policies, it is now easier to dispose of records and information than the furniture housing them.

Role of the Penn State Room in Perspective

In their own fashion, the Penn State Room and the Central Files units both tried to address aspects of this problem. In many ways their functions overlapped, their procedures were contradictory, and neither had the authority or responsibility to solve the problem.

Historically, the Penn State Room developed from a collection of artifacts (the Statiana alcove in Carnegie Library) and a resource for the College Historians Runkle and Dunaway into a University historical collection. Its previous isolation in Pattee's tower rooms, and its emphasis on anecdotal "pioneer" history, exhibits, periodical indexing, publication collecting and the provision of historical information as a service by it loyal and amateur staff gave the Room the ambience of the typical local historical society. Unlike Yale's historical collection, which the Room's Curator in 1948 termed "purely archivistic," the Penn State Room did not develop an archival role in the 1950's and '60's . This was not totally the fault of the Room's staff. There was no real understanding at any level of the University as to what "archives" really connoted, let alone how an archival unit could provide any administrative support in the form of an integrated archives and records management program.

As evidence of this were have the anomalous existence of the title "College Archivist" given first to Librarian Willard P. Lewis in 1941, one month after the death of College Historian Erwin Runkle and four months before Wayland F. Dunaway's undertaking of the college history project. Runkle was the College Librarian who in 1903 initiated the collecting of historical materials. The "Archivist's" appointment, to "collect, catalog and protect records and materials pertaining to the history of the College" was obviously made to fill the void. Lewis never used the title, but when Ralph McComb took over, he was styled "Librarian; Archivist" in the catalog from 1951/52 until 1966/67, when he retired. According to Mr. McComb, the use of the term was derived purely from the existence of the Penn State Room. While it was usually invoked when the Library was seeking the papers of some prominent faculty member or of a department or other unit, the University seemed to accept the Penn State Room as the place where "historical" records would eventually repose. Even today the President's Office refers to the Penn State Room as the "the archives" and the Faculty Handbook states, "The Penn State Room in Pattee Library houses the public archives of the University."

It was all well and good to have an archive where the dusty old tomes of antiquity can rest, but it was not to be confused with managing the explosion of paper records which the post-war surge gave birth to. These were not seen as

potential historical records -- they were merely an expensive nuisance. In 1960 planning began under Ray Fortunato for a University Records Management program. Announced in October 1960, the program's goal was basically to reduce the amount of existing University records. This would hopefully save money for the University by reducing the space and the number of filing cabinets needed and by a partial changeover to cheaper filing systems wherever appropriate. Twenty-two records management representatives from various areas met four times, beginning to define the problem, when Fortunato was promoted to Director of Personnel Services. He was not replaced in the program and it died. The only apparent results of it were a cleaning out of some records and the microfilming of others in Central Files.

The first announcement of the program did indicate that materials of interest to the Penn State Room might be found. Cautioning that these would not necessarily be old, personnel in offices were directed to contact the Room's Curator if anything historical turned up. Leaving the decision to the records management representatives was hardly a useful solution to the problem of preserving archival records. Furthermore, it reinforced the myth that archival must mean historical when if fact archives are those non-current records preserved for either their legal, financial, administrative or historical value. Seen in this context, the notion of an integrated archival records management program makes more sense, for it is the archives that houses any records that must be preserved permanently. Whether or not they are "historical" or accessible to the public is irrelevant to a judgment for their preservation.

Since 1974 the Penn State Room has actively sought out archival records for preservation. The current archivist has relied on precedent in doing this since no administrative charge has been given to any unit to do so. Among the significant record series now in the Penn State Room are the minutes and papers of the Board of Trustees, the correspondence of the Presidents up to 1930, minutes of the Council of Academic Deans, University Council, and Councils of Administration and Research, minutes of the faculty and Senate from 1861, University clippings and news releases from the 1860's, records of Deans of Liberal Arts, Human Development, Science, and other records series from various administrative and academic units. These records, with manuscript collections, total over two

million pages and are complemented by 1.5 million pages of biographical and subject files, 50,000 photographs, files of over 200 University periodical publications, more than 2,000 books by faculty authors and cartographic, audio-visual and museum objects holdings. However, without administrative policy support for the preservation of current and future archival records, the Penn State Room can only fight a holding action.

Central Files Historical Development and Current Status

The immediate cause for our present concern and direction is the future of Central Files. The retirement of its two staff members and the installation of word processing equipment in Old Main presents the opportunity for a redefinition of its functions.

A Central Administrative Files concept at Penn State was initiated in 1957 by Wilmer Kenworthy, then administrative assistant to President Walker. Kenworthy hired the services of a Remington Rand filing consultant to redesign the files of the President and Board, formerly on the second floor adjacent to the President's office. These files formed the nucleus of a new central administrative files with the function of intermediate or semi-permanent storage of important records of the Board, President, Provost, administrative officers and committees, and legal documents such as deeds, contracts, agreements, patents, etc.

Although Central Files is preserving archival documents, it does not follow established archival or records management principals. This, by and large, has led to the current dissatisfaction with Central Files. Unlike an archive, it does not systematically seek out records of permanent value for protection. More importantly for its clients, it does not preserve materials according to archival principles of arrangement. The basic rules of archives, first, that materials of one office are never intermixed with those of another and second, that records are maintained in their original filing order, are not followed here. Instead, after considerable weeding, documents are distributed to various subject files. this destroys the historical integrity and authority, does not promote improved subject retrieval, and frustrates any office looking for "its" file on a given topic. Over the years fewer offices have either sent records to Central Files or called on it for information.

As an alternative many of these units microfilmed records, often without consideration of the need for filming. It is likely that in seeking to save space, records were filmed which should have been destroyed. Furthermore, these units may not have considered the implication of the arrangement and description of the records before microfilming "froze" them in place. Other units have preferred to buy more filing cabinets, squirrel records away in closets, attics and basements, or to simply destroy them without notice to anyone.

Initially, Central Files in the basement of Old Main contained some 820,000 documents in some 9,100 file folders. Board of Trustees materials and certain files of the President were removed from the system. By August 1982, 276 cartridges of 16 mm film containing some 690,000 documents were filmed and developed; thus completing the first stage of the Central Files modernization project. some 7,600 index records were entered on the IBM 5520 terminal by COSS to create the master index computer file. Thirty thousand documents were destroyed without microfilming and some 60 cubic feet of pamphlet, published and pictorial material were transferred to the PSR as inappropriate for microfilming. Subsequently, about 75,000 microfilmed documents will be transferred to the PSR for permanent preservation in original format.

SYSTEM OVERVIEW

The University maintains very large paper files, but currently has no satisfactory means of systematically assuring the preservation of records of permanent value. We must do so for administrative, legal, financial and historical reasons. While it is apparent that the University has sought to preserve "historical" documents, it has no clear idea of the relationship of such efforts to the management of today's tremendous paper files. It has in fact, established units with overlapping functions and contradictory practices. The newly implemented system as described in this document can change this. It saves space and personnel and assures the preservation of the current Central Files documentation in microform, while improving access to it with a computerized indexing system. Certain documents with intrinsic historical or legal importance or with artifact value are maintained in the original as well as in microform. the system provides that the preserved originals as well as a copy of the Central Files microfilm are housed in the Penn State Room. They are supported by existing holdings and are available to all classes of users subject to established restrictions. A second copy of the microfilm is housed at the Central Office Support Service (COSS) where access is restricted to administrative offices. A third copy of the microfilm (master negative) is stored in the vault for security reasons and as a back-up in case of damage of any film copies under circulation.

As part of the new system, the Penn State Room (PSR) is not only responsible for the preservation of the relatively limited number of historical documents but also acknowledges a responsibility, in cooperation with the individual offices, for the extension of the computerized system to deal with the documents and files in their offices now and in the future. This extension must concern itself with the creation, storage and disposition of files and the selection and preservation of documents and files of permanent value for periodic conversion to microfilm so as to assure the continued usefulness of the system.

With the completion of the processing of 9,100 file folders of documents in Central Files, the system will be extended to cover existing documentation in the Penn State Room and the Old Main Offices. It will provide for a survey of office files to determine what materials should enter the Central Files system, and use

the same level of indexing and filming support as for the microfilmed Central Files documents. As the use of the system becomes established and routine to the different Old Main offices, we will expect that these offices will begin to index their active files using the system before those documents become inactive and candidates for microfilming. In this fashion, all users of the Central Files system will have expanded access to filmed records on an on-going basis and, for the first time, access to nonconfidential active records still in offices. A general overview of the proposed system is outlined in figure 1.

Types of Document Files

For completeness, we must consider all the different attributes under which a file of documents may be categorized. The type of document will determine its flow through the system and later its availability for retrieval by the respective users. The key to determining the category of a file in the system is to define the level of access based on security and activity, as well as the actual location of the document file. A document file is accessed by consulting the microfiche index to determine the physical location of the document (either the original document, a microfilm image or the original or, both). The index will provide a limited but essential key towards accessing the actual document file while the physical document provides the pertinent data.

The security access level of a given file is defined to the system by the originating office at the point of the creation of the Transmittal Slip (see appendix, item 1). A file is completely "private" if both the Index and Document are located within the physical environment of the office. A document file is "semi-private" if the index is available to other offices while the physical document or microfilm is located within the custody of the originating office. Alternatively, a file is completely "public" if both the Index and Document are available centrally. The location of semi-private files may be obtained from the central index but the physical document may only be reviewed if the proper approval is obtained from the office responsible for the document.

In general, however, a file will be considered "closed" if either no more documents are expected to be added to the file or if the rate of use of the file

FIGURE 1 SYSTEM OVERVIEW

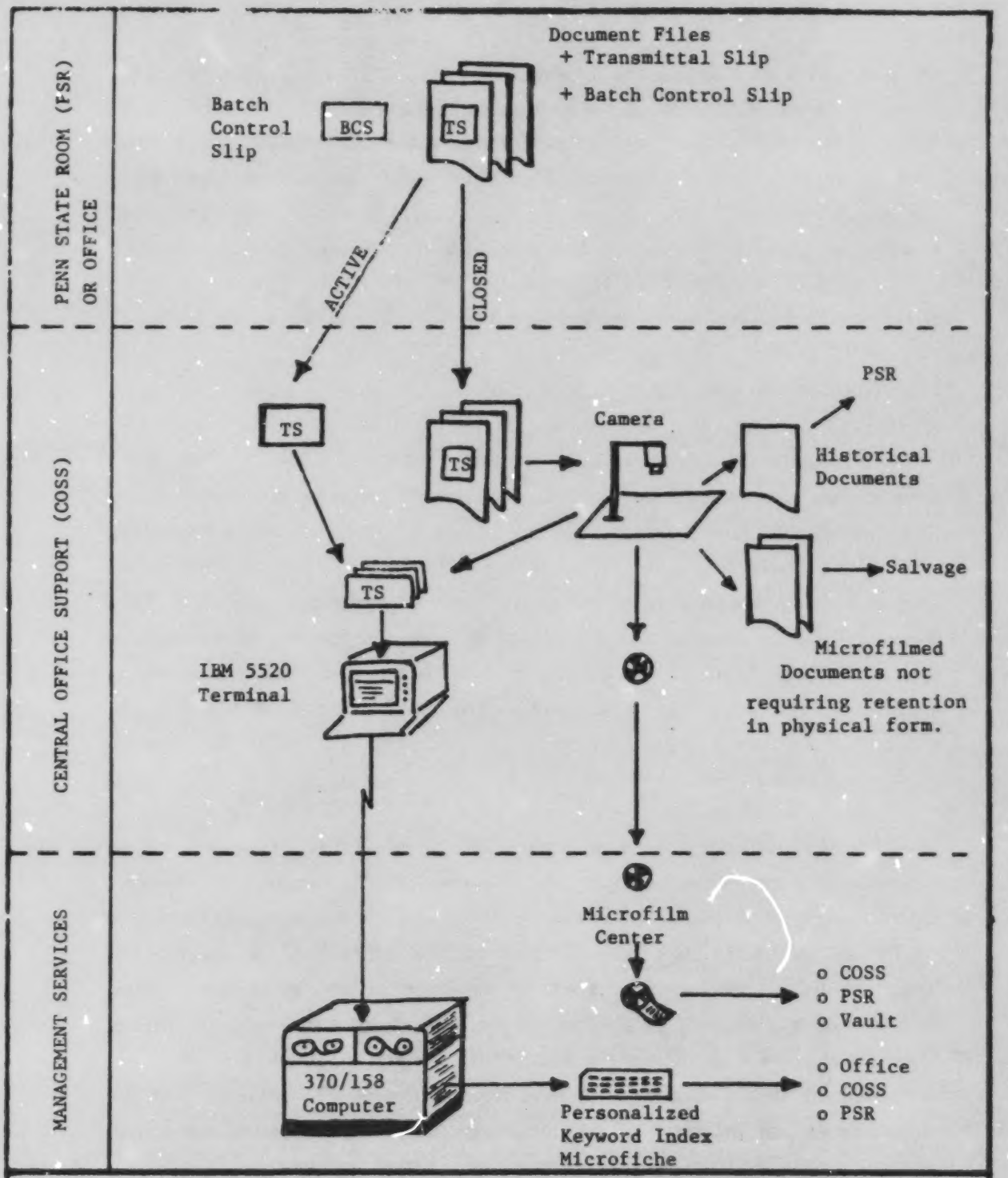


Figure 1 - System Overview. The originating office, in cooperation with the PSR room archivist initiates the transfer of physical documents to microfilm. The Central Office Support acts as the coordinator throughout the filming and the processing of the personalized Keyword Index Microfiche by Management Services.

falls below an established level of activity. In terms of the system, active files are closed, or a closed file may be reopened, by changing the availability code within the index record. Furthermore, files or indices should also update their status from private to public after appropriate time periods by a similar change of the availability code within the microfiche index record. However, due to the physical limitation of the film cartridge which contains up to 2,500 frames and the ascending sequencing of the frames within each cartridge, the system may only accommodate changing the availability status of a complete cartridge. Naturally, this restriction is not applied to document file with availability status A1, A2 as these documents are not filmed; the system is completely receptive to any change limited to the microfiche index.

Briefly stated, the model identifies three levels of document file attributes within the system. The first level defines whether the document file is closed or active. The second level defines the attribute of the document itself, while the third level defines the attribute of the index. Collectively, these attributes determine the five different types or categories of document files, see figure 2:

- C1: Closed private document with private index; (throughout this write-up we refer to this type as Closed-Private).
- C2: Closed private document with public index; (Closed Semi-Private).
- C3: Closed public document with public index; (Closed Public).
- A1: Active private document with private index; (Active Private).
- A2: Active private document with public index; (Active Semi-Private).

The status of records, of course is dynamic. All active files eventually become inactive and private files/indexes eventually become public. While it is possible to specify appropriate time periods for these changes it is not feasible to have one uniform time for all status changes. An element of the proposed extension of the system to current files in the office is the establishment of schedules for the status changes of the various classes of files.

FIGURE 2 TYPES OF DOCUMENT FILES

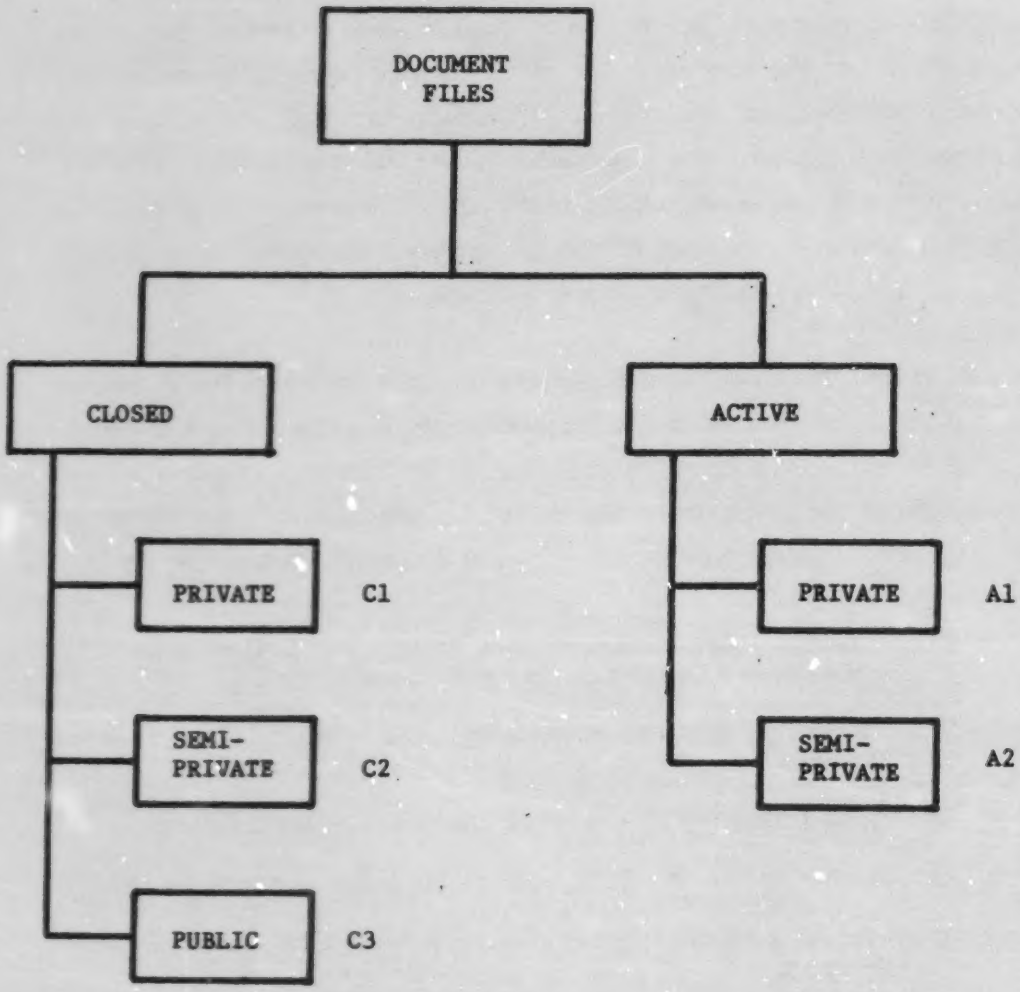


Figure 2- TYPES OF DOCUMENT FILES

The above diagram illustrates the five possible document files to be considered within the proposed system. The two-character codes (C1, C2, C3, A1, A2) represent the type of document and hence its availability to the different users.

It is important to note that a Public file with a Private index is not provided for. Furthermore, a Private Active file with Private Index (A1) is the responsibility of the originating office; the index data for such files will appear only on the microfiche of the originating office. Public files and indices essentially mean that they are available to the public, however it is intended that COSS shall serve as a retrieval station for academic and administrative staff only, while the public files and indices in the PSR would be available for all classes of users. The distribution of the document files, microfilm and microfiche is summarized in the location and distribution of documents as shown in item 2 of the appendix.

Title/Key - Index Descriptor

The index record for each file folder or document consists of a number of pertinent data elements to provide intellectual and physical control over the materials in the system. Elements which provide intellectual control will identify the title and/or keywords supplied for an indexed item, the date(s) and the controlling or originating office. Those which provide physical control will identify the physical, security status and location of the indexed item. Security status will be represented by special codes for active/closed and private/public document and index. Physical status indicates whether the file is available in microform, original or both. Location will be represented by microfilm cartridge and frame numbers or active office location if not in an office's main files. This location is the room and file document number. Retained original copies of files which have been microfilmed will normally be kept in the Penn State Room. Items 3 and 4 of the appendix outlines the general layout of the microfiche index and the layout of an individual frame or page within the microfiche.

Effective intellectual control over materials is the key to the success of the proposed system. We anticipate the use of the system will be of two basic types: known-item searches and subject searches. The known-item search seeks a particular document, letter or file, while the subject search seeks "information about X." Both must be satisfied through the title/keyword field of the index record. Searching is done on significant words from the title as well as those additional keywords which are placed in the index record to augment intellectual access. A file titled "University Airfield Services" would be augmented, for example, by the keyword "airport" if that more fully describes the subject of the file. Reference to the file would then be found both under "airfield" for the

known item searcher who knows it by the title and under "airport" for the subject searcher who wants anything having to do with the airport. Keywords may play multiple roles, providing additional content descriptors when the title does not tell the whole story, but also giving us an element of control over the terminology available for access points.

It is anticipated that most title/index record keywords will be added by the staff working with the files in the different offices by examining the list of microfiche index keywords for examples and/or consulting the procedural manual for system users. A purpose of adding keywords to the existing document or file titles is to amplify the contents of a document or file if and whenever the title does not fully describe its contents.

The microfiche index is dynamic and therefore needs coordination. The creation of this index is a joint effort of all those who contribute records and the system designers. However, there has to be some 'editorial' control over the system of keyword descriptors -- a periodic arbitration over the addition, modification and deletion of keywords. This role will be played by the PSR archivist when the need arises for decisions concerning such changes.

The Input Function

Document files are transferred from the various administrative office to Central Files by completing a specially designed form known as the Transmittal Slip. This form maintains the integrity of the individual document fields throughout the microfilming/indexing process. It is initiated by the originating office to (1) identify the contents and the desired availability level of the particular document file; (2) to update a document file index already in the system; (3) to identify a status change.

At the end of the filming process, the records supervisor at COSS verifies the integrity of the processed film and completes the TS by inserting the cartridge and frame references off the microfilm. If the verification is successful, the records supervisor will testify as to the authenticity of the microfilming by signing the TS and returning a copy to the originating office.

The set of completed transmittal slips will provide the originating office with a records as to what files or documents transferred to the University's Central Files

depository. The instructions provided on the TS will give the records supervisor (1) the authority to restrict the retrieval of a particular document file or to make it available to other users of the system: (2) the required data elements to create the computer records of the particular document file. This data will appear on the microfiche index to provide the first step of the retrieval function.

The Retrieval Function

The retrieval of a particular document is carried out in three stages:

i) Select keyword

ii) Search the microfiche index and identify status and location

iii) Review document file through the microfilm reader (Public files) or contact the appropriate office (Semi-Private Files). Private Files may only be accessed by the originating office as it is under its total control.

As a first step towards locating any document in the system, the researcher must select an appropriate keyword that directly relates to the title or content of the project folder or document. Therefore, the selection of keywords to the system is of primary importance to ensure a high percentage of successful searches. However, the vocabulary of keywords should be controlled (i.e., limited as far as possible to standardized terminology) so as to improve retrieval efficiency.

Once a successful keyword is selected the researcher will locate the records index under the particular keyword. The record will contain the microfilm cartridge and frame numbers of the first page of the file desired, the security and physical status and ownership.

Through the use of the microfilm retrieval units available at COSS and the PSR (and possibly the individual offices), the individual may locate the document desired within the particular file through the use of the microfilm reader or contact the particular office where the physical document is located. For the convenience of the user who needs a hardcopy output a microfilm reader/printer is available.

APPENDIX

THE PENNSYLVANIA STATE UNIVERSITY
CENTRAL FILES
TRANSMITTAL SLIP (TS)

ORIGINATING OFFICE CODE

Originating Office _____ [ ][ ][ ]
(See Office Code List)

TRANSACTION CODE *(Circle One)*

A = *Add New Record,* **U** = *Update Existing Record,* **D** = *Delete Record* [A] [U] [D]

Indicate *(right justified)* the number of pages per file/document. → [ ][ ][ ]

Indicate active life of file/document →

START DATE		END DATE	
[ ]	[ ][ ]	[ ]	[ ][ ]
MONTH	YEAR (Last Three Digits)	MONTH	YEAR (Last Three Digits)

C1: Closed Private Document with Private Index.
C2: Closed Private Document with Public Index.
C3: Closed Public Document with Public Index.
A1: Active Private Document with Private Index.
A2: Active Private Document with Public Index.

→ [C1] [C2] [C3] [A1] [A2]
AVAILABILITY STATUS *(Circle One)*

M: Microfilm File/Document
P: Maintain File/Document as Original Only
B: Microfilm and Physically preserve File/Document

→ [M] [P] [B]
PHYSICAL STATUS *(Circle One)*

DOCUMENT LOCATOR

CLOSED FILES
(Completed by COSS) → CARTRIDGE # [ ][ ][ ][ ] STARTING FRAME # [ ][ ][ ][ ]

ACTIVE FILES
(Completed by Originating Office) → LOCATION CODE [ ][ ][ ][ ] FILE/DOCUMENT # [ ][ ][ ][ ]

SUBJECT TITLE/KEYWORDS *(Field length is limited to 128 characters).*

_____

_____

_____

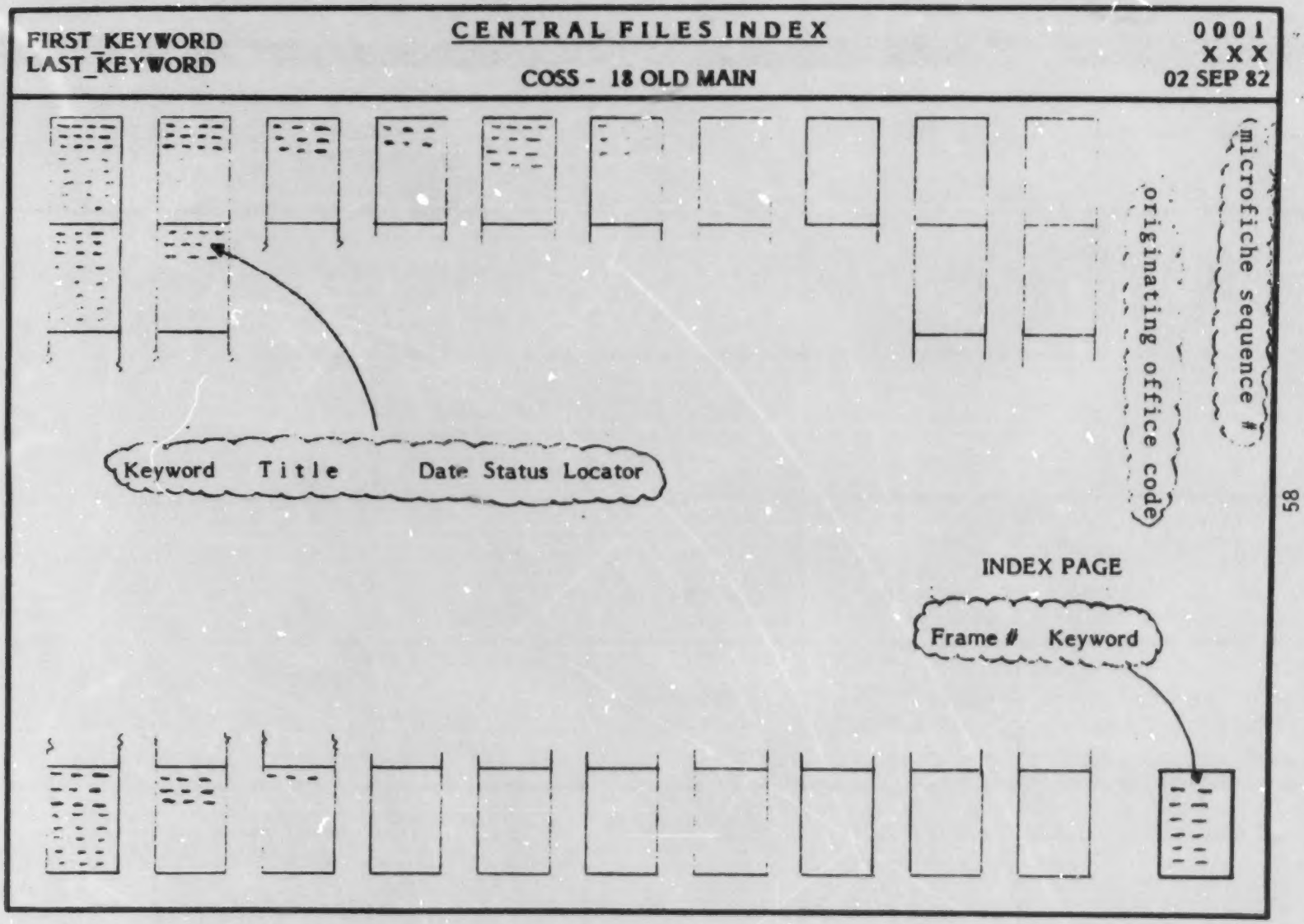
_____ _____

Signature Date Signature Date

ORIGINATING OFFICE COSS 1

	CLOSED PRIVATE C1	CLOSED SEMI-PRIVATE C2	CLOSED PUBLIC C3	ACTIVE PRIVATE A1	ACTIVE SEMI-PRIVATE A2
ORIGINAL DOCUMENT	–	–	–	OFFICE OF ORIGIN	OFFICE OF ORIGIN
ORIGINAL DOCUMENT WITH ARCHIVAL VALUE	PSR (SEALED)	PSR (SEALED)	PSR	–	–
MICROFILM (MASTER COPY)	VAULT	VAULT	VAULT	–	–
MICROFILM COPY #1	COSS Restricted for use by the office of origin.	COSS Restricted for use by the office of origin.	COSS	–	–
MICROFILM COPY #2	OFFICE OF ORIGIN	OFFICE OF ORIGIN	PSR	–	–
WORD INDEX	• OFFICE OF ORIGIN	• EVERY OFFICE • COSS • PSR	• EVERY OFFICE • COSS • PSR	• OFFICE OF ORIGIN	• EVERY OFFICE • COSS • PSR

Location and distribution of Doucments, Microfilm and Microfiche word index for the five types of documents


FIRST_KEYWORD
LAST_KEYWORD
CENTRAL FILES INDEX
COSS - 18 OLD MAIN
0001
XXX
02 SEP 82
(microfiche sequence #
originating office code)
Keyword Title Date Status Locator
INDEX PAGE
Frame # Keyword

INDEX	TITLE	DATE	STATUS	LOCATOR
ACTIVITIES	Students Activities Dramatics Thespian Club -- Finance Organizations	07926-05946	C3-USG-M	0001-0001-078
	Students Activities Hetzel Union Building -- Operating Policies	04952-08959	C3-USG-M	0001-2153-052
	Students Government All-University Cabinet -- Activities	01950-12957	C3-USG-M	0001-0080-092
	Students Government All-University Cabinet -- Activities	02958-12958	C3-USG-M	0001-0763-072
ALCOHOLIC	Students Organizations Fraternities Alcoholic Beverages -- Drinking Unchaperoned Dating	04938-12956	C3-USG-M	0001-0628-121
ALL-UNIVERSITY	Students Government All-University Cabinet -- Activities	01950-12957	C3-USG-M	0001-0080-092
	Students Government All-University Cabinet -- Activities	02958-12958	C3-USG-M	0001-0763-072
	Students Government All-University Cabinet -- ROTC	10958-05959	C3-USG-M	0001-1659-098
	Students Welfare Insurance Plan -- All-University Cabinet Sharp-Larry	03950-12959	C3-USG-M	0001-0593-129
AWARDS	Students Awards -- Sparks-Medal Eisenhower-Medal Scholarships	10924-12959	C3-USG-M	0001-2247-069
BEVERAGES	Students Organizations Fraternities Alcoholic Beverages -- Drinking Unchaperoned Dating	04938-12956	C3-USG-M	0001-0628-121
CABINET	Students Government All-University Cabinet -- Activities	01950-12957	C3-USG-M	0001-0080-092
	Students Government All-University Cabinet -- Activities	02958-12958	C3-USG-M	0001-0763-072
	Students Government All-University Cabinet -- ROTC	10958-05959	C3-USG-M	0001-1659-098
	Students Welfare Insurance Plan -- All-University Cabinet Sharp-Larry	03950-12959	C3-USG-M	0001-0593-129
COTTAGES	Students Organizations Sororities -- Cottages Dormitories	09943-03956	C3-USG-M	0001-1192-062
CRIME	Students Welfare Cases Taylor-Rachel--Crime State-Police	03940-01941	C3-USG-M	0001-0327-119
DATING	Students Organizations Fraternities Alcoholic Beverages -- Drinking Unchaperoned Dating	04938-12956	C3-USG-M	0001-0628-121
	Students Regulations Drinking Unchaperoned Dating	02950-11951	C3-USG-M	0001-0829-149
DEFERMENTS	Students Selective-Service Cases -- Deferments	12950-10952	C3-USG-M	0001-0923-035
DORMITORIES	Students Organizations Sororities -- Cottages Dormitories	09943-03956	C3-USG-M	0001-1192-062
	Students Veterans -- Public-Law-550 Dormitories	03951-07955	C3-USG-M	0001-0456-078
DRAMATICS	Students Activities Dramatics Thespian Club -- Finance Organizations	07926-05946	C3-USG-M	0001-0001-078
DISCIPLINARY	Students Organizations Fraternities Disciplinary Actions	10951-02958	C3-USG-M	0001-0138-064
DRINKING	Students Government Women-Student-Government-Association -- Drinking	07952-11957	C3-USG-M	0001-0146-083
	Students Organizations Fraternities Alcoholic Beverages -- Drinking Unchaperoned Dating	04938-12956	C3-USG-M	0001-0628-121
	Students Regulating Drinking Unchaperoned Dating	02950-11951	C3-USG-M	0001-0829-149
EISENHOWER-MEDA	Students Awards -- Sparks-Medal Eisenhower-Medal Scholarships	10924-12959	C3-USG-M	0001-2247-069
ENCAMPMENT	Students Encampment	02955-09955	C3-USG-M	0001-1826-059

02-03-82

Start Date (MMYYY)
End Date (MMYYY)
Availability Status
Originating Office Codes
Physical Status
Cartridge number (closed files) Location code (active files)
Starting frame number (closed files)/File or document number (active files)
Number of pages within a document file

University of Oregon

University Archives
The Library
UNIVERSITY OF OREGON
Eugene, Oregon 97403
23 July 1981
503/ x3077

MEMORANDUM

TO: George Shipman, University Librarian
FROM: K. Keith Richard, University Archivist KKR
SUBJECT: Purpose and Goals statement from University Archives

PURPOSE:

The University Archives is the official records depository of the University and the Archivist is the official records officer of the institution. The archives and the archivist position have been established to insure a records management program, to insure orderly retention and destruction of all public records, whether current or non-current, and to insure the preservation of public records of value for administrative, legal and research purposes. The archivist shall organize and supervize records scheduling, retirement, central storage and destruction as well as full reference service to the records on deposit in accordance with the laws of the state and nation. Among the other purposes of the archives will be found: 1) the housing of all archival copies of doctoral dissertations, masters and honors theses; 2) the collecting of all University publications of historical and research value; 3) the providing of access to the records in an orderly manner and providing reference service to the patron concering the records accessioned; 4) securing and protecting the records and other materials and items on deposit in the archives; 5) serving as the custodian of the history of the University and to collect associate items in this capacity; 6) providing preservation, conservation and repair of records when necessary to insure their longevity and future use; 7) the microfilming of the records when funding is available; 8) the keeping of confidential material on deposit secure and confidential; 9) the keeping abreast of current trends in archives.

GOALS:

The records in the archives are public records as are all the records produced by the University in all areas and thus they too are required by law to be deposited in the archives when they are non-current. It is against the law to destroy any paper without the knowledge of the archivist, without proper scheduling and inventorying of the records. All records are accessioned and indexed for reference and use through the archivist, by the various patrons, offices, etc. Protection of the materials on deposit is paramount and search activities must be in accordance with the rules of the archives and for the protection and integrity of the records. Providing service to the patron is a main objective of the archives and this service is availableto all patrons interested in the public records of the University. Service is based on efficiency and completeness, but is limited by staff, funding and the hours of operation. The complete microfilming of all records in the archives and the preservation of all unique items in the original. The complete inventorying and scheduling of all offices on campus will continue as time, staff, and funds permit thus allowing, ultimately, for a more efficient office management system for the entire University. The availablility of the materials for research purposes will be enhanced by the preservation, conservation and repair of the materials as needed. All records produced by the University in all areas shall eventually be turned over to the custody of the archivist for retention or destruction.

an equal opportunity/affirmative action employer

Library Purpose

The University of Oregon Library as the largest research library of the state, seeks to support and stimulate undergraduate instruction, graduate instruction, graduate and faculty research and service on the University of Oregon campus as well as respond to the needs of scholars by providing access to recorded information and information services.

Program Objectives

1. Establish Library requirements for campus instructional and research programs by maintaining regular contacts with academic departments and University administration and by being actively involved in the appropriate University committees concerned with issues having implications for Library resources and services.

2. Increase and maintain the acquisitions budget to reflect the instructional and research needs of faculty and students, primarily at the University of Oregon, and secondarily to students, faculty and citizens throughout the state of Oregon.

3. Acquire and provide access to all necessary recorded information in fields pertinent to the programs at the University of Oregon.

4. Develop and maintain a clear definition of scope of the collection for the University Library in order to more accurately focus the acquisitions efforts on behalf of the University.

5. Process on a current basis in LC classification all materials except manuscripts, juvenile materials, ephemeral materials and documents. The latter to receive expeditious processing but in non-LC classification.

6. Develop and maintain a strong, service-oriented staff, adequate in number, through systematic recruitment, orientation, in-service training, specialization, advancement and competitive remuneration.

7. Accommodate collections, patrons and staff in physical facilities offering ready access to and usage of materials under optimum conditions.

8. Administer the collections in a manner that will facilitate access by all users.

9. Maintain materials in good physical condition through an active binding and preservation program.

10. Develop and maintain systematic planning and review procedures to insure the maximum utilization of personnel and financial resources.

11. Develop a commitment to long-range planning for the constructive development of the collections to support teaching, research and service.

UNIVERSITY ARCHIVES

KENNETH SPENCER RESEARCH LIBRARY
UNIVERSITY OF KANSAS
LAWRENCE, KANSAS 66045 913 864-4188

POLICY STATEMENT

The University Archives, located on the top floor of the Spencer Research Library, is the repository for records, both official and unofficial, which document the history of the University of Kansas.

Established in 1969, the Archives now contains a substantial body of publications, theses, minutes, correspondence, student records, photographs, financial records, and faculty publications dating back to the earliest years on Mount Oread. The use of these materials is subject to restrictions stipulated by the donor, whether official or private. The purpose of the Archives is to provide the University with useful documentation of the people, policies, and events of its past years. It constitutes a most significant and steadily growing resource for research at all levels into the history of the University community.

The University Archives Committee was created on December 1, 1969. Its duties are to codify statements of policy for the University Archives, to revise these policies when necessary, and to advise the Chancellor, Dean of Libraries, and University Archivist in their administration.

COLLECTION POLICY

The University Archives is the repository for the records of enduring value officially made or received by the University of Kansas and for other materials of historical value related to the functions of the University. The following types of materials are collected by the University Archives:

1. Official records emanating from any unit of the University.
2. Publications emanating from any unit of the University.
3. Records of individual faculty and staff created in their official capacities in the University.
4. Historical papers related to the University that are worthy of preservation.
5. The records and publications of University affiliated organizations.
6. The records and publications of student organizations and groups, and the publications edited by students.
7. The original or prime copy of any thesis, dissertation, or project accepted by the University in fulfillment of requirements for any advanced degree.
8. One copy of all University Press publications.
9. Photographic material, including prints and negatives of still and motion pictures relating to the campus, buildings, faculty, students, events, and life of the University.
10. Other audio-visual material, including microforms, video tapes, phonotapes, discs of University events, programs, speeches, interviews, et cetera.
11. Cartographic material and blueprints created as part of the official function of an academic department or service unit of the University.

RECORDS POLICY

The following regulations concerning the preservation of records should be observed by all administrative and instructional officers of the University:

1. All tangible items produced and received in the course of the activities conducted by the offices and officers of the University of Kansas are the property of the University. These records include correspondence; memoranda; minutes; student, personnel, patient, client, financial, and business files; audio and visual material; machine readable records; publications; publicity material; speech copies; blueprints; cartographic material; and all other items that officially document the work of the University and its components.

2. Such records are not to be destroyed without the written approval of the University Archives.

3. When records are no longer needed by the office of origin (or its successor) for the ordinary conduct of business, the University Archives will be notified and arrangements will be made for the transfer of permanently valuable records to the Archives and for the disposal of other records.

4. Office files should be transferred to the Archives as they were arranged in actual use, since their organization reflects the functioning of the Office of origin. The University Archives stands ready to advise on the care and arrangement of records.

5. Conditions of access to material deposited in the Archives may be specified by the originating or successor office, consonant with the laws of the State of Kansas. Such records preserved in the University Archives will be available for use to the office of origin or its successor during regular Archives' hours of business. If necessary, the offices of origin or its successor may withdraw on indefinite loan any records which it has deposited, with the exception of very fragile records which will be supplied in copy.

RETENTION POLICY

The University Archives shall examine its holdings and incoming material with the prime objective of retaining material of research and administrative value. Material with limited value may be microfilmed and then the University Archivist may dispose of the originals.

Records, Manuscripts, and Other Irreplaceable Material
Each discrete item, in whatever form, of such material shall be preserved.

University and University-Related Printed Material
When available, three copies of all publications, minutes, and blank forms shall be procured and preserved. Duplicate copies of publications beyond the number of three shall be retained, as long as space is available, for the purposes of exchange, deposit elsewhere, and lending.

Non-University Printed Material
At least one copy shall be preserved in cases where non-University printed material is an integral part of an archives group or collection of papers. If such material is not relevant to a group or collection but has value for scholars in its own right, it should be retained by the University Archives, or at the archivist's discretion, transferred to another repository.

THE USE OF RECORDS AND MANUSCRIPTS IN THE UNIVERSITY ARCHIVES

Permission to Examine

Permission to examine records and manuscripts will be granted to qualified researchers upon completion of the application form provided for that purpose. The University Archives shall make available for legitimate research use records and manuscripts in its care, subject to the following restrictions: (a) Those imposed by the office of origin; (b) Those imposed by the donor; (c) Those imposed by the archivist for the protection of materials and the processing of them for use. Restrictions in the first two categories may be of the following types:

a. Sealed. Papers received but not processed until a certain lapse of time which is specified in the terms of acquisition.

b. Closed. Papers received and processed but not available for use without the written consent of the office of origin or the donor.

c. Restricted. Papers processed and available for use but permission of the office or the donor is needed before citing or quoting.

In certain cases, researchers may be required to use microfilm or photographic copies of records or manuscripts. Permission to examine records or manuscripts is <u>not</u> an authorization to publish from them.

THE USE OF RECORDS AND MANUSCRIPTS IN THE UNIVERSITY ARCHIVES

Permission to Publish

To the extent that it may properly do so, the University Archives will ordinarily grant the usual permission to publish to qualified researchers. Written request for the right to publish must be made. Researchers wishing to publish records or manuscripts, either in whole or in part, are urged to make application before proceeding with research and publishing plans. If permission to publish is granted, the location and identity of the records or manuscripts used should be cited in the published work in the form supplied by the University Archives and the publication shall be reported to the Arhcives. Copies of such publications are welcomed.

In giving permission to publish records or manuscripts, the University of Kansas does not surrender its own right thereafter to publish or to grant permission to others to publish.

THE USE OF RECORDS AND MANUSCRIPTS IN THE UNIVERSITY ARCHIVES

Publication Rights and the Responsibility of the Researcher.

A. The literary property right of public records usually belong to the public.

B. There are two types of property rights in manuscripts:

1. Common Law literary property, which vests in the author or his heirs or assigns, is perpetual and is not transferred automatically with the physical possession of the manuscript. It is the obligation of the scholar or publisher and not the library to secure permission to publish from the owner of this right, if it has not been dedicated to the public, and to assume any liabilities if it cannot be cleared.

2. Physical possession, which resides in the owner of the manuscript. Often it is only this latter right which a repository has at its disposal.

The University Archives may be able to assist the researcher in discovering the owner of the common law literary property. As a practical matter, although the common law rights are perpetual (unlike the statutory copyright which protects published matter for a maximum of 56 years), the necessity to obtain this permission to publish is probably greater in the case of recent materials, anything written by important literary figures, anything which might be construed as libelous, or anything which can be considered of financial importance.

Photoduplication.

The University Archives will, on request, supply xerox or microfilm copies of its record or manuscript holdings, subject to the approval of the archivist. The cost of such service is to be incurred by the researcher.

WSU LIBRARIES

ORIENTATION LEAFLET NO. 2

MANUSCRIPTS, ARCHIVES & SPECIAL COLLECTIONS

Reading Room, Catalogs
and Exhibit Gallery.....First Floor
Third Floor.....Administration, A-V Archives and Research Carrels

Monday-Friday
8:00 a.m.-5:00 p.m.

Other hours by
appointment

(509) 335-6691

MANUSCRIPTS, ARCHIVES, AND SPECIAL COLLECTIONS (MASC), in Holland Library, is responsible for the acquisition, servicing and preservation of millions of items—manuscripts; photographs; printed materials, including books, maps and ephemera; as well as the archives of the University—all of which provide primary source materials for serious students and scholars in a variety of disciplines.

PRINTED materials are diverse, ranging from incunabula—the earliest books printed from movable type—to modern first editions, private press books, and rare Pacific Northwest Americana. The personal library of Leonard and Virginia Woolf provides the focus for the modern British literary collections. Contemporary American literature is represented in the collection of books and broadsides from small, fine regional presses. An extensive collection of angling books forms the cornerstone of a Wildlife and Outdoor Recreation Collection. The Veterinary History Collection and the ethnic Germans From Russia Collection constitute two other special collections.

MANUSCRIPT collections are extensive. They are especially rich in documents relating to the exploration, settlement, and development of the Palouse Country, the Inland Empire, the Columbia Basin, and the Pacific Northwest. The DeSmet Papers reflect the activities of a nineteenth century missionary priest in the region. The history of agriculture is reflected in the Pacific Northwest Agricultural History Archives. The collections range in size from small, distinctive groups of personal letters or manuscripts, to larger collections of family and political papers, to entire business and corporate archives. The Regla Papers span three centuries of Mexican history. The papers of modern European and American composers are represented in the Moldenhauer Archives at WSU. The archives of several regional publishers also are represented.

THE UNIVERSITY ARCHIVES serve as the collective memory of the institution. As such, they contain those personal papers and records generated by W.S.U.'s faculty, academic departments and administrative offices, as well as campus organizations, which in accordance with policy, procedure, and precedent are retained permanently because of their historical or administrative importance.

HISTORICAL PHOTOGRAPHS provide another dimension to the manuscript, archival, and printed resources. The Historical Photograph Collection, numbering almost one-quarter of a million images, offers a wealth of visual documentation for the study of material culture in terms of the campus, the city of Pullman, the Palouse Country, the Inland Empire and, more generally, the Pacific Northwest.

ACCESS to materials is either by means of Holland Library's catalogs, or the special catalogs, guides, indexes, and registers maintained within MASC itself. The superscription, ARCHIVES, preceding the call number indicates that the item is located in Manuscripts, Archives, and Special Collections. The staff of MASC will be pleased to provide assistance in interpreting both the resources and the use of these tools. It is advisable that the staff be consulted at the outset of all research projects.

USE of MASC's resources must be confined either to the first floor reading room or, upon special request, to the research carrels available on the third floor. Patrons must register with the attendant, take extreme care in handling the materials, keep intact the order and arrangement of manuscript collections and confine note taking to pencil rather than pen. Eating, drinking, or smoking is not permitted.

PHOTOCOPY requests for reasonable amounts of material will be accepted provided the photocopying neither damages the material, nor infringes upon copyright or other restrictions placed on it. Facilities for the duplication of photographs are also available.

INQUIRIES concerning the collections or policies regarding their use both for research and publication should be directed to the Head of Manuscripts, Archives, and Special Collections, Washington State University Libraries, Pullman, WA 99164-5610.

Rev. 9/83
Washington State University Libraries, Pullman, WA 99164-5610

(2) "OFM" (Office Files and Memoranda) are all other records (including copies of "OPR").

c. "Cut-off," column 13-- The date the records become inactive. The retention period begins at the cut-off date. Common cut-off abbreviations are:

AY--Academic year
CY--Calendar year
FY--Fiscal year
FPOC--Final payment of contract
LRDO--Last records series disposed of
MO--Monthly
QTR--Quarterly
SA--Semi-annually
TOC--Termination of contract
TOE--Termination of employment
US--Until superseded

d. "Retention Periods," column 14--This is the minimum period that the records must be kept after cut-off.

(1) "Office"--The period that records are retained in the departmental office area.

(2) "Rcds. Ctr."--This refers to the period seldom-accessed records are stored in a storage location outside the office. (The university does not have a central records center to store seldom-accessed records. For assistance in locating suitable storage locations, contact Facilities Planning.)

(3) "Total"--This is the total of the previous two columns.

e. "Disposition Authority Number," column 15--Assigned by the Washington State Records Committee.

4. University Archives

a. If a reference in column 16 of the records schedule indicates that the records series is potentially archivable, the department sends indicated documents to University Archives after the retention period has elapsed. If there is no reference in column 16 and departmental personnel believe that the records have permanent historical, administrative, fiscal, or legal value, contact University Archives for assistance and instructions (telephone 335-6691).

b. The University Archives provides archival storage for records which must be permanently retained.

SUBJECT: Records Retention, Disposal and Storage

(1) University Archives personnel evaluate the records for archival value. Non-archival materials are discarded.

(2) University Archives transfers records to permanent acid-free folders and storage boxes for preservation.

(3) University Archives prepares an inventory which is returned to the office of origin for reference and retrieval puposes.

(4) The office of origin may request records or photocopies as necessary to conduct business.

(5) For more information on services provided by the University Archives, call Manuscripts, Archives and Special Collections, Holland Library (335-6691).

5. Disposal

a. According to state statute, only those records which have been approved for disposal by the Washington State Records Committee may be disposed of. An approved records schedule constitutes authorization. (RCW 40.16)

b. Most records are disposed of as wastepaper or recycled.

c. Confidential records

(1) Destroy confidential records to prevent undesirable or illegal disclosure. (Clear examples of confidential records include student files, personnel files, and patient files.)

(2) Shred the records if a shredder is available. If a shredder is not available:

(a) Place the records in a cardboard carton. Securely tape the carton shut and label "confidential."

(b) Notify the Division of Motorized Equipment of the records to be picked up. (Provide one week advance notice for scheduling purposes.)

(c) Division of Motorized Equipment personnel deliver the records to the incinerator.

6. Non-record materials--The State Records Committee defines the following materials as non-record materials which may be disposed of as soon as they have served their purpose. Do not list these materials in individual departmental retention schedules. Files should be organized so that these non-record materials can be periodically purged without disrupting the record files.

University of California, Berkeley

From the Annual Report of The Bancroft Library, 1982/83

UNIVERSITY ARCHIVES (J.R.K. Kantor, University Archivist)

Prefatory Note. This is the nineteenth annual report which I have had the pleasure of submitting to the Director of The Bancroft Library. It differs from the rest insofar as it is my last, my retirement from the University of California becoming effective at the end of this month.

During this period of almost two decades the holdings of the University Archives have increased dramatically, as the following figures will show. In like vein, the service load of the unit has multiplied, and even though the Reading Room function was discontinued in 1966 the Public Service has increased sixfold. It is probably safe to say that no other Library unit, staffed by 1.5 FTE, gives so much reference service to administrative offices and to Library patrons.

Operations. It became apparent two years ago that the unit was sorely in need of some student assistance, and arrangements were made with the Public Services Division of The Bancroft Library to provide for such, one or two hours a week. During this academic year we have had several fine students who retrieve and refile records from the thousands of cartons of documentation, and who file faculty reprints.

The unit, sad to say, still suffers from a shortage of storage space akin to the processing area. During this past quarter, with the opening of the new Northern Regional Library Facility at Richmond, we were able to shift 286,000 manuscripts from our auxiliary cage on tier one to the Facility. This allowed the Office of the President to forward additional records from University Hall, records which must be kept close by so that reference service can be supplied utilizing their content.

The circulation of materials from the unit to patrons in the Heller Reading Room continues to be intensive, and UARC supports major research activities as well as briefer queries.

Holdings and Processing

Transfer of Records within the University

Office of the President	86 cartons
Lawrence Hall of Science	8 cartons
Office of Public Information	5 cartons
Public Ceremonies Office	8 cartons 50 volumes
Housing Office	2 cartons
Stern Hall	1 carton
Cooperative Extension	10 cartons
Mortar Board	1 volume

Books and Printed Materials

254 new entries were made in the Rowell classification.

Binding statistics:	161 buckram	
	18 cloth	
	2 boxes	
	47 quarterbind	
	65 pamphlets	Total: 293 volumes

Grand Total of Bound Volumes now held: 16,750

Manuscripts

296,000 manuscripts were added.

Grand Total of Manucripts now held: 9,358,057

Pictures

312 pictures were indexed.

Grand Total of Pictures now held: 14,680

Memorabilia

10 items were indexed, including a bronze medal and turf from California Memorial Stadium.

Grand Total of Memorabilia now held: 520

Reference. For University offices, the archives provided assistance in selection of photographs for two exhibitions in the Student Union during Open House, for publication in campus publications, and for decoration of dressing rooms in Zellerbach Hall. The usual prompt service has been given to Executive Records Division of the Office of the President, to Gifts and Endowments, and to the Office of the General Counsel. For individual researchers, several long-term projects have been supported through circulation of large amounts of files -- a biography of Carl Sauer, a history of the Greek Theatre, a history of the San Francisco Medical Center, a history of the Department of Oriental Languages, a history of the School of Criminology, and a history of the Heller Committee. Voluminous records were supplied to attorneys employed by the University to look into its relations with the United States Government during World War II in re Los Alamos National Laboratory. Our marvelous collection of Ethnological Documents, part of the archives of the Museum and Department of Anthropology, continues to be heavily used: in 1982/83 eighteen persons used seventy-nine of the documents. And, last but not least, we are pleased that the Daily Californian, Index, 1874-1929, created by Mrs. Thornton, has provided so much information to so many patrons.

Records Management. The University Archives continues to pass on all requests for establishment of disposition schedules for records held by both Systemwide and campus administrative offices.

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Exhibitions. Three major exhibitions were created and installed in the Rowell Exhibition Case during the year: "Students, Write!"; "Origin and Development of the University Archives 1875-1964"; and "Posters as Documentation." In addition, items were contributed for the Annual Christmas Exhibition (for which the catalog was proofed).

Mrs. Thornton, as a member of the General Library Exhibits Committee, assisted in selecting materials for the Berkeley Women Exhibition installed in the Doe Lobby in March.

Editorial. Three issues of Bancroftiana (twelve pages each) were copy-edited and seen through the press. Fourteen members of the Bancroft staff and three members of the General Library staff wrote twenty-three articles, and the editor wrote seven articles.

The Annual Keepsake was read in typescript and recommendations for textual changes were made.

Goals. To preclude presumption on my part at this late date, I quote from my annual report of 1981/82: "In the absence of a palpable historic center on campus, the archives attempt to rekindle interest in the institution's beginnings and development, its glorious achievements in areas academic and athletic, and, perhaps more dramatically, in its people. The University Archives can achieve these things only because they contain a marvelously comprehensive body of documentation, in many forms: manuscripts, books, pamphlets, pictures, posters, recordings, maps, memorabilia. Acquire and accession; catalogue and index; preserve and publicise; provide reference service -- these are the archivists' activities."

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UNIVERSITY OF ILLINOIS
UNIVERSITY ARCHIVES
TWENTIETH ANNUAL REPORT
July 1, 1982 to June 30, 1983

I. Operations. In 1938, University of Alberta President William A. R. Kerr wrote that "All Universities worthy of the name possess three functions: The storage of knowledge already acquired, the dissemination of knowledge now in man's possession, and the search for new knowledge." The University Archives is committed to President Kerr's definition. Our priorities are the identification and retention of knowledge that has been acquired, the dissemination of information about the knowledge we possess and the exploitation of our holdings in the search for new knowledge.

This view of the relationship between a dynamic institution and knowledge stands in contrast to other concepts of higher education. One is the perpetual potato patch image wherein rows of sprouts and timely fertilization yield an annual harvest of degrees, publications and ratings. Another view places a premium on visibility and entails the promotion of academic stars and programs with high public recognition. Professional education, "high" technology and athletic entertainment are among the most popular areas for star gazing. Salary differentials and publicity budgets are indications of this phenomenon. Quantification is frequently employed to support these concepts. Market demand, peer group polls and gift and revenue attractiveness become measures in this view of a university. The fallacy of counting something because it is measurable is compounded when the evaluative criteria are based on numerical evidence without a critical examination of program components. Size and awards are empty consolations when quality staffing is absent. Universities can fall short where they spend the development dollar on buildings rather than curriculum, chemicals rather than chemists, books rather than bibliographers.

The acquisition of research material is justifiable only in the context of an equally effective program for its exploitation. In the past two decades, as the holdings of the archives have increased 434%, use has increased 401%. Most users in 1963-64 were in connection with the university's centennial commemoration. Now our users range from undergraduates in architecture, rhetoric and speech to visiting scholars specializing in the history of science, sports, education, anthropology and Russian area studies. Faculty from other universities used the archives more than the Illinois faculty.

Our experience confirms the importance of the administration of a comprehensive archival program by academic staff. The appraisal, processing, conservation and use of archival materials are interrelated. In archival theory and practice, each activity requires knowledge of and experience in the others. Administrative networking, external appraisal decisions, central processing and reference specialization often increase costs and lower quality of the resources and services provided.

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A. Staff.

William Maher as assistant archivist has handled primary responsibilities for records management, records retrieval and conservation. Since October, he has been a full-time staff member. Jody Seibold and Alan Hanegan, as Archives Technical Assistants for six months, were responsible for reference work, contacts with the Library and the supervision of students employed by the Archives and listed in Table 1. During the July-October and April-June periods, Joan Sibley and graduate students provided temporary service while the civil service position was vacant.

The efficient work of students is reflected in the accomplishments described throughout this report. Student wage funds covered 1126 graduate student hours and 470 undergraduate student hours, a decrease of 81 compared with 1981-82. The effect of a static student wage allocation was masked because part of the salary for the vacant civil service technical assistant position was used for student wages. In addition to regular hourly student employees, the Graduate School of Library and Information Science provided a quarter-time assistantship for the academic year, the American Library Association contract provided a half-time assistantship and the Association of American Law Libraries provided a quarter-time assistantship. A grant to establish the Archives of the Argonne Universities Association provided a quarter-time assistantship for the second semester.

The principal accomplishment of the archives in staffing continued to be its ability to operate the archival program with students. In 1982-83, 48% of our graduate student hours did not come from library appropriations. The dollar percentage of non-library support is greater. An increase of 451 hours of student work in the typing and clerical area placed additional supervisory responsibilities on the technical assistant. We are reducing the need for student typists by having graduate research assistants enter finding aids directly onto microcomputer disks. The effective utilization of the microcomputer and printer is a key factor in increasing staff productivity. Our graduate students have also spent more time in preparing exhibits.

The archives remains understaffed. Its most important need is four additional full-time positions - a records manager, audio-visual archivist, reference archivist and conservation specialist. They would permit us to handle our present work load. In 1982, 95.7% of the support for the archivist's professional travel came from non-university sources. Contracts, grants and contributions remain key factors in maintaining the quality of the archival program.

B. Space.

	Square Feet	Capacity Cubic Ft.	Processed Cubic Ft.	Unprocessed Cubic Ft.	Total Cub.Ft.	% Occ.
Library						
19-21	4723	4612	5325	142	5467	119
Attic	92	92	92	0	92	100
Basement Corridor	534	351	297	155	452	129
Newspaper Library	147	221	214	6	220	100
Child Development	1678	3004	2376	132	2508	83
Commerce West	850	1152	932	600*	1532	133
Law 68E	806	1342	1219	66	1285	96
Bevier Hall	352	215	206	9	215	100
Space Assigned to Others:						
Band Building	42	42	42	0	42	100
Law Library	30	30	30	0	30	100
	9254	11061	10733	1182	11843	107

*Estimates of business archives not included in Section II-A below.

With 11843 cubic feet of records in 11061 cubic feet of shelf space, the Archives is 107% occupied. Records in ten locations mean delays which hamper reference service. Staff shortages prevented the sampling and destruction of 350 cubic feet of records in Commerce West. The centralization of campus administrative offices in the Swanlund Administrative Building has resulted in several sizable transfers of noncurrent policy files to the archives. As archival space becomes unavailable, backlogs of records build up in offices.

The staff discussed possible transfer of library space to the archives. A report on two alternatives, each containing 5200 square feet, indicated that the major problems would be in the narrow aisles and book shelving, which would not accommodate archival boxes and hand trucks. Lighting, floor loads, elevators, moisture and access control also limit the usefulness of library space. The practical solution is a separate facility, built or remodeled for archival and manuscripts materials. While wasteful and expensive, the adaptation of old book shelving to archival needs may provide short range relief for the crowded conditions of the archives.

We have a policy for private support for the continuing housing, maintenanace and use of non-university records, but we still lack an effective mechanism for securing capital and operating support for research programs. Negotiations with the Stewart Howe Foundation for a major gift for facilities and continuing support proceed. We look forward to the day when policies and promises lead to action and results.

C. Equipment.

During the year $3434 was spent for supplies and $4853 for equipment. No library funds were used for equipment. With project funds, the Archives acquired an IBM personal microcomputer and ordered a C-Itoh printer. While waiting for delivery of the printer, the microcomputer was used with an Apple printer and the Library's C-Itoh printer. A research contract provided shelving; an electric typewriter was acquired as surplus property; and our S&H Green Stamps Collection was redeemed for a desk lamp.

II. Holdings and Processing. On June 30, 1983 the University Archives contained:

A. Type of Material	No. of Series	Cubic Feet
Processed		
Office Records	887	6133.2
Personal Papers	726	2638.3
Publications	2026	955.1
	3639	9726.6
Unprocessed		
Office Records	37	167.1
Personal Papers	25	223.0
Publications	92	58.0
	154	448.1
Archives Total	3792	10174.1
American Library Association Archives		
Processed		
Office Records	509	844.8
Personal Papers	63	53.2
Publications	234	108.9
	806	1006.9
Unprocessed	79	61.8
A.L.A. Total	885	1068.7
Total	4677	11243.4

Archives' processed holdings include office records (63%), personal papers (27%), and publications (10%). Processed volumes in cubic feet are the approximate equivalents of 4089 file drawers, 7,914,900 manuscripts and 8023 books. See Tables 2 and 3 for breakdowns of record groups in the University and ALA Archives by types of records.

96% of the holdings of the University Archives are processed. The 478 page Archives Classification Guide has been revised and retyped. Processing totals for the past year decreased by 28 record series and 94 cubic feet. A.L.A. archives processing totals increased by 6 record series and 24 cubic feet. The archives contains about 9,415,800 historical manuscripts.

B. Significant Accessions.

	Cubic Feet
Staff Appointments File, 1976-82	8.3
Aerial Photographs, 1958-64	1.0
Comptroller's Correspondence, 1969-73	26.7
Bank Activity Reports, 1974-78	.3
Comptrollers's Subject File, 1970-74	2.0
Building Finance Investment File, 1949-63	1.0
Budget File, 1967-77	9.0
Patent Committee Case File, 1974-82	3.0
Patent Committee Subject File, 1974-82	8.0
Home Economics Subject File, 1898-1980	5.6
NASULGC Subject File, 1935-75	16.0
Research Laboratory Betatron Files, 1942-65	1.0
Corpus of American Architecture, 1939-46	3.0
Small Homes Council Annual Reports, 1945-82	.3
FCC Hearings Transcripts, 1977-79	2.0
Physiology Staff Appointments File, 1947-70	.3
Student Zoology Laboratory Guides, 1893	.3
Russian Area Studies Correspondence, 1967-74	.3
Information Systems & Services Feasibility Studies, 1980	.3
Student Ledger Cards, 1899-1981	10.3
Study Lists, 1981	.1
Foundation Membership Correspondence, 1979-82	1.0
Property Acquisition File, 1972-78	1.6
Illinois Regional Library Council File, 1971-81	9.3
Reference Department Correspondence, 1930-76	.1
Library Public Services Subject File, 1979-80	1.0
Geoscience Information Society Archives, 1976-82	.7
Geography & Map Division Archives, 1981-82	.3
Health Science Librarians of Illinois Records, 1960-81	1.0
Faculty, Staff & Student Portraits, 1974-82	3.3
Daily Illini Photograph Prints, 1967-78	8.8
Daily Illini Photograph Negatives, 1971-78	5.3
Phi Beta Kappa Records, 1978-82	1.0
Alpha Lambda Delta Archives, 1980-81	.4
Busey-Evans Hall Association Records, 1929-81	2.0
Heimskringla Archives, 1911-82	.6

III. Programs

A. Personal Papers.

The archives received transfers of the papers of anthropologist Joseph Casagrande, band director Austin Harding, zoologist James Kitzmiller and educational critic Mortimer Smith and substantial additions to the papers of David Linowes and Harry Tiebout. The archives acquired the Oscar Lewis' Cuban project files. The Paul Anderson and David Lowrie papers provide excellent documentation on YMCA work in Europe from 1914 to the present, the Orthodox Church, the Russian Christian Student Movement and YMCA war relief and publishing.

B. Publications.

The staff concentrated work on publications from the colleges of Engineering and Liberal Arts and Sciences.

C. Sound Recordings and Oral History.

The archivist interviewed Robert Downs on videotape for the University of Texas project to document the history of Latin American collections. He also prepared a statement for the Library Friends on the funding and staffing requirements for a professional oral history program.

D. Photographs

The archives received and processed extensive collections of photographic prints and negatives with a subject index from the Daily Illini. The staff processed faculty and staff portraits. A new photograph use policy will provide the archives with copy negatives where only a print is held and improve control of heavily-used photograph negatives and prints.

E. Finding Aids.

The archives staff expanded the PARADIGM subject descriptor data base from 3615 terms to 3663 terms. Staff members produced 146 pages of supplementary finding aids, which brought the total to 7167. The archivist discussed the micrographic reproduction of archival finding aids with representatives of the Chadwyck-Healey Company. The assistant archivist and the staff prepared a chronology, flow chart and other descriptive material on the archives' automated finding aids. Showing how the archives adapted its PARADIGM data management and indexing system to the university's in-house computer facilities and incorporated the production of finding aids on its microcomputer in the total system, this material was made available to archivists at meetings of the Midwest and Mid-Atlantic regional archival conferences.

IV. Projects

A. History of Science and Technology.

The archivist was involved in several national programs relating to the appraisal and retention of scientific and technological records. He attended a meeting of the Joint Committee on the Archives of Science and Technology, contributed to a chapter on appraisal and reviewed the final report. He attended an international meeting sponsored by the American Institute of Physics project on the "History of Solid State Science."

B. Business Archives.

There were no additions to or processing of the 600 cubic feet of business archives.

C. Academic Organizations.

The University Archives provides archival services for twenty-six academically-related organizations. Acquired through the interest and involvement of administrators, alumni and faculty, these archives provide outstanding research resources.

As Director of the American Library Association Archives, the archivist supervised a half-time research assistant and negotiated a three year extension of the archival services agreement. Reference uses increased from 195 to 455, the number of subject descriptors in the data base from 3546 to 3624 and the number of finding aid pages from 860 to 920. After ALA's publication of our National Catalog of Sources for the History of Librarianship (NCSHL), the staff added new information to the data bases.

The assistant archivist supervised the American Association of Law Libraries archival project, conferred with AALL officials in Chicago and arranged for the renewal of the agreement for archival services. The project research asistant processed nine record series amounting to 4.9 cubic feet and produced five pages of finding aids. He also surveyed source material in other repositories and prepared an exhibit on the Law Library Journal for the annual meeting.

The staff processed the initial shipment of 16 cubic feet of National Association of State Universities and Land Grant Colleges (NASULGC) Archives. They provide a primary record of 20th century relationships between state universities and the federal government.

The archivist processed records of the Third Armored Division Association relating to the "Spearhead" Division's service in England, France, Belgium and Germany in World War II. Correspondence, histories, journals, maps, photographs and clippings document the accomplishments of ROTC alumni and associates. The contemporary and official documentation is supplemented by recollections and subsequent research.

The Council for Basic Education Archives were strengthened by the acquisition of the papers of Mortimer Smith, the first Executive Director, and a file of Council publications. The Council's emphasis on subject matter content in education received national attention with the report of the National Commission on Excellence in Education.

The archivist negotiated an agreement with the Argonne Universities Association for archival services for records relating to academic involvement in the operation of the Argonne National Laboratory. The administration of the national research program in nuclear physics between 1948 and 1982 is well documented by records boxed at the laboratory, trucked to Urbana, processed and described in entries on microcomputer disks.

V. Records Management

The archives' basic records management responsibilities are to evaluate all university records to determine which shall be destroyed and which shall be transferred to the archives, and to improve the quality of university records by advising offices concerning standards, procedures and techniques required for efficient creation, use and destruction of records. The Campus Administrative Manual includes sections on records disposal procedures and the Archives' Microfilm Advisory Service.

During the past year, the archives completed work on 9 schedules for 23 record series totaling 13.9 cubic feet. 22 active series with an annual accumulation of 13.7 were scheduled for destruction. One active series with an annual accumulation of .2 cubic feet were scheduled for transfer to the archives. The current total of 101 records disposal authorizations approved by the archives cover the annual destruction of 259 active series accumulating at a rate of 1256.5 cubic feet a year, and the archival transfer of 46 series with an annual accumulation of 48.6 cubic feet. Based on a cost estimate of $6.25 per square foot annually for storage space, these records retention schedules save the university $7853 each year in storage space.

Completed schedules cover records from administrative divisions, academic departments, and public service unites including College of Medicine at Urbana-Champaign, Vice-Cancellor for Student Affairs, Counseling Center, Engineering Publications Office, Public Affairs, Accident Compensation Committee, and the Agronomy and History Departments.

The role of the University as a major employer is reflected in five of the nine schedules approved in the past year which included records documenting the selection, apppointment, compensation and work activities of personnel. Requests for records management assistance with departmental files relating to undergraduate instruction and advising continued. Despite the installation of automated accounting systems, paper copies of financial records are still a major concern of records schedules prepared in the past year.

In addition to the nine schedules completed, the archives inventoried and drafted schedules for eight offices including Trustees, Graduate College-Research Board, Materials Research Laboratory, WILL Radio and Television, Library-Interlibrary Lending and Interlibrary Borrowing, and the departments of Astronomy, and Ecology, Ethology and Evolution. These draft records schedules represent series of substantial volume. They incorporate revisions of existing schedules and adjustments to automated information systems.

While the statistics on records management for 1982-83 are similar to those for last year, new ground has been broken with several schedules. After consultation with the Campus Legal Counsel and the Assistant Vice-Chancellor for Affirmative Action, the archives approved the first records disposal authorization for departmental search committee files. Already, we have used this schedule as a model for several departments. The Affirmative Action Office now routinely refers departments to the archives for records retention advice. Following consultation with the Office of Administrative Studies and the Offices of Instructional Resources Management, the archives refined and extended its schedules for departmental records on faculty time, undergraduate instruction, and course evaluations. Work on Library and Materials Research Laboratory schedules has led to improved definition of retention requirements for financial records especially those relating to federal and state grants

and contracts. Improved standards for personnel, teaching, and financial records retention increase the archives' ability to inventory and schedule departmental records.

As part of the archives Microfilm Advisory Service, we advised the Payroll Division regarding access to cameras to film payroll documents. The lack of equipment for this project contrasts with other departments holding equipment that is under-utilized because of lack of staff and insufficient material to be filmed. Just as a records center would achieve more efficient utlization of office and storage space, a central microfilm service would insure better utlization of equipment and improved service to departments. The archivists conferred with the newly appointed Micrographics Consultant of the campus office of Administrative Information Systems and Services concerning a survey of microfilm equipment and needs.

Records management activities are central to an archival program because they connect the archivist to the records creator. Inventorying and scheduling records located in offices is an essential part of the appraisal necessary for the archives' documentation of the university. Through this process, the archivist has the opportunity to effect improvements in office filing practices that can simplify processing when material is transferred. More importantly, this can insure the preservation of that body of files which best documents the university. For example, the recent on-site appraisal of the files of a nuclear physicist resulted in an 83 percent reduction of the volume of records transferred to the archives.

Given the present rapid changes in office technologies, information and records management work and contacts with records creators and custodians are particularly important. Through this work, the archivists keep abreast of changes in office information systems that have long-term implications for the preservation of the record of the university's history. With equipment vendors and office information consultants suggesting electronic mail and filing, the archivist must maintain close contacts with offices if the archives are to document the future as well as they have documented the past.

The implementation of a campus information management program requires bringing together the administrative staff involved in the use of information processing systems. The archives staff prepared tentative plans for a series of information management sessions on systems organization, records retention scheduling, microfilming and related topics, but were unable to arrange for the training sessions. A comprehensive information management program that would achieve a substantial reduction in operating costs requires a modest investment in staff time.

VI. Use

A. Reference Service.

5085 reference uses represent a 17% increase and a new record. Our reference workload has increased 59% in the last five years and doubled since 1974. Tables 5 and 6 show users and purposes of use from the July 1, 1982 to June 30, 1983 period. Table 7 shows five- year trends in percentages. Table 8 shows records used in the past year. The most frequently used record groups were Alumni Association, Student Affairs, Public Information, Board of Trustees, Liberal Arts and Sciences, Fine and Applied Arts and Admissions and Records.

B. Research Use.

Thirty-five doctoral candidates used the resources of the University Archives. Eighteen dissertation researchers were from Illinois and two from foreign universities. Five were in history; four in English, economics and history of science; three in sociology, and two each in anthropology, business administration, library science and music. Seven other disciplines were represented. Nine candidates spent extended periods in the Archives. They were in American Studies, anthropology, communications, economics, English, music, social work, sports history and religion. Among their topics were Romanian peasant culture, farm mechanization, university traditions, faculty control of intercollegiate athletics, communications theory, militarization and higher education and the School of Music.

Fifty-one graduate students and 191 undergraduates in architecture, library and information science, journalism, business and technical writing, speech, and other curricula used archival material for course or seminar papers or reports on campus buildings, university policies and programs, persons and other topics. The auditorium and campus architecture were the most popular subjects, each attracting seven students. Six chose information management, administrative writing and the library. Five wrote on university organization and structure, Athletic Association and Champaign-Urbana photographs. Other topics included fraternity and sorority buildings, the Armory, bicycles and transportation, Chief Illiniwek, Thomas J. Burrill, automation and computers, and the budget. Students used the archives to develop a multi-media Homecoming show on Illini "firsts", research a history of solid state physics, locate fraternity information and reunion material and find data on campus organization constitutions and records, homecoming events, the Illini Union treasure hunt, and viewing a student's father in a football film. Students comprised 44% of our users.

109 Illinois faculty used the archives to study local and regional history, women in higher education, the Faculty Advisory Committee, Lorado Taft, Oscar Lewis' research methodology, David Kinley and the International Olympic Committee, the first degrees awarded in economics and music, Radio Free Europe, the 1936 Olympics for designing sets for "The Beams are Creaking," and Illinois Indians and coal. The principal organizational studies were histories of the Departments of Landscape Architecture and Urban and Regional Planning and the Classics Library. Most faculty users were from Fine and Applied Arts (37%), Liberal Arts and Sciences (18%), Library (16%), Agriculture (5%) and Commerce (4%).

Research Use (continued)

Faculty members from fifty-eight other universities and colleges in twenty-five states, Austria, England, Germany, Romania, India, Japan and Korea used the archives. Among their topics were student political activism, student union design and function, the university in society, industrial training in Tsarist Russia, Russian Mensheviks, George Stoddard and Japanese education, historical pageantry, human rights and the 1936 Olympics, the D. Gusti sociological school, Philip Mosely on the Austrian peace, and the Guaslan seminars in Ecuador. Scholars from four American and one foreign university used the Avery Brundage Collection. A Korean researcher used International Olympic Committee files in preparing for the Seoul Olympics of 1988. Biographical studies concerned George Cable, Charles De Garmo, Thomas F. Hunt, Mina Loy, Marie Nichols, Jesse Owens, Arthur Palmer, Lorado Taft and Eleanor Walch. A major publication resulting from archival research by visiting scholars was From Medical Chemistry to Biochemistry by Robert E. Kohler (New York: Cambridge University Press, 1982, 399 pp.).

Avery Brundage and the Olympic games were the most popular topics among alumni and pubic users. Ten groups sought microfilm, educational film strips, traveling exhibits, slide shows, motion picture film, and listings of competitors records as well as specific research data on the 1912 and 1936 games. Lawyers studied Oscar Lewis' "The Children of Sanchez" manuscript, and the Chinese Ministry of Education obtained records relating to Wen Tsing Tao A.M. '15. British, Japanese and Turkish scientific and technological centers sought research publications. Several federal research institutions also requested data for scientific research. A team from a French project in Poitiers studied the architectural and design work of Gabriel Guevrekian. Karl Clark, Carl Lundgren, George Nuttall, Collis Woolman and Rosalyn Yalow were subjects of biographical research. Researchers from the Hyde Park Historical Society and Oregon, Illinois studied Lorado Taft. Local researchers included the Illinois Heritage Association seeking Champaign-Urbana photographs, architectural and engineering firms planning the renovation of the Auditorium and a historical researcher studying the University YWCA. Twenty-one users sought family history information. While half of the public users were from Illinois, the others were from twenty-two states and twelve foreign countries. Citizens in sixteen Illinois counties used the archives, but Champaign and Cook counties in Illinois and the Washington D.C. area accounted for half of our total public usage.

The principal administrative users were staff of the Library, Liberal Arts and Sciences, Student Affairs, Public Affairs, Foundation, Agriculture, Alumni Association, Library and Information Science and Mothers Association. Thirty-two other university offices and departments used the archives. Half of the Library use involves the Illinois Historical Survey and departmental libraries. Illiniweek and Illinois Alumni News writers were frequent users of information on individuals and buildings. The Foundation obtained information on persons making bequests to the university. International Programs staff used the Agency for International Development files for planning a new university in Islamabad, Pakistan. The Mothers Association and Chicago campuses used the archives for slide shows. Student Services interns did administrative research on the Volunteer Illini Projects, traffic appeals, private housing, financial aid and student organizations. Administrative users also studied Abbott power plant coal piles, the Upper Embarass River drainage basin and protocols for the World Wheelchair Games.

Faculty from an additional fifteen universities and an additional three states used the ALA archives for biographical studies of Charles Brown, Warner Bishop and Leander Lyon and research on library services to labor and the Intellectual Freedom Committee. Other ALA users included staff at the Chicago headquarters and members in seven states. Research topics included the Hampton Institute and Atlanta University library schools. The Gaylord Company made extensive use of archives' photographs in its advertisements.

C. Publicity.

The archivist wrote to 4.5% of the graduate students beginning research for their dissertations to call attention to archival resources. Many of them visited the archives to consult records or obtain addresses of repositories having source material relevant to their topics.

The archivist spoke on "University of Illinois Presidents and their Wives" in the University YMCA's "Know Your University" Series, on the history of the university at a meeting of Housing Division resident advisers, and about the archives to a group of Library circulation supervisors.

The Alumni Association provided a slide projector system for the University Archives, and the archivist prepared a one hour slide show on the history of the university. The show has been presented to an alumni group in Muddy, Illinois and the archivist used a shortened version in a keynote address on "History of the University of Illinois" at the annual Alumni College on campus. The archivist prepared information about the development of the university for the "Public Colleges and Universities" section of the Greenwood Encyclopedia of American Institutions, participated in the Urbana High School Career Fair and spoke on "Our Country Through the Eyes of an Archivist" to the Govenor Thomas Ford chapter of the Daughters of the American Revolution in Elliott, Illinois.

Table 9 lists twelve archives exhibits prepared by the staff. The archives also prepared University Library exhibits on student housing and Womens History Week. The staff provided documents and photographs for exhibits on Lorado Taft and the Beaux Artes tradition at the Krannert Art Museum, on the ALA and World War I for the Graduate School of Library and Information Science and on Thomas J. Burrill for the Plant Pathology Department. The archivist conferred with Encyclopedia Brittanica Productions staff concerning a traveling exhibit on the Olympic movement drawn from the Avery Brundage Collection.

VII. Archival Program

A. Training.

As a Departmental Affiliate in the Graduate School of Library and Information Science, the archivist taught a class of nine graduate students in a course on the "Administration and Use of Archival Material" (Library & Information Science 438) in the Fall semester. The students prepared footnote citations for administrative histories of university departments, biobibliographical critiques of archival careers and research papers on archival problems. They also processed record series in a practicum. As the Digital Computer Laboratory managed to erase 72 pages of course notes and a 19-page bibliography, the staff is entering course materials on our microcomputer disks.

Second semester, the archivist taught "Information Management" (LIS 450 JJ) to three graduate students. In addition to papers on access systems and use analysis, the students obtained basic analysis, entry, calculation and word processing experience on the archives' microcomputer. Three other graduate students took "Advanced Archival Studies" (LIS 451).

The archivist participated in a panel discussion of "collection development" in the Library and Information Science core course (LIS 300) and lectured to the research seminar (LIS 475) on archival and manuscripts source material. The summer LIS 300 class toured in the Archives. The Archival staff counseled students using the Archives resources for seminar and course papers or classroom use. 1346 class uses were 26% of our total reference use.

In the past year, archivists from Chicago State, DePauw, Hillsdale, Parkland, Purdue, and Washington & Lee and the State of Illinois visited the Archives. Mrs. N.P. Hidalgo of the University of the Philippines visited the archives on a UNESCO sponsored study tour and consulted with the archivist about establishing an archival education program. Mail and telephone inquiries concerning archival and records management practices were received from nine colleges and universities, including universities in New Zealand and Peru. Archival inquiries or visits were also received from Eleutherian Mills-Hagley Foundation, Sinsinawa Dominican Sisters, Smithsonian Institution, and United Technologies.

The archivist visited academic archives at Alberta, Chicago, Grinnell, Harvard, Indiana, Michigan, Radcliffe and Stanford. He also visited the Gerald R. Ford and John F. Kennedy Presidential Libraries, the Hoover Institution Archives and the Illinois State Archives. He visited libraries at Alberta, Michigan, Southeast Missouri State and Stanford.

B. Professional Activities.

The archival staff maintained professional contacts by attendance at national and regional meetings, participation in the work of task forces and committees, consulting and visits to other archival institutions.

The archivist attended the Society of American Archivists' meeting in Boston and gave a paper on "The Implications of the National Archives and Records Service Study of the Concept of Intrinsic Value. On April 25, at the request of the Society, the archivist telephoned the Bundesarchiv Manuscript Division in Koblenz concerning the Hitler "diaries." He learned that German archivists had not seen the documents and that they doubted their authenticity. This was reported in the SAA Newsletter. The archivist attended three meetings of the National Information Systems for Archives and Manuscripts Collections Task Force (NISTF) in Washington, Boston and Palo Alto. NISTF completed its work and transferred responsibilities to a standing Committee on Archival Information Exchange. The staff prepared reviews of the task force documents. The archivist met with the Standard Reporting Task Force to review proposed terminology and statistical measurement documents. The archivist conferred with the Committee on Professional Standards, which selected two new fellows for the Society.

The archivist attended Ann Arbor and Chicago meetings of the Midwest Archives Conference and chaired MAC's Education Committee, which was responsible for workshop sessions at semi-annual meetings, formulation of committee guidelines and the program for the 1983 Fall meeting in Urbana-Champaign. He also served on the Local Arrangements Committee for this meeting. At the Chicago MAC meeting, he gave a paper on "Archival Consultants."

The archivist chaired three meetings of the Illinois State Archives Advisory Board in Chicago and Springfield. In 1982, the State Archives received the Society of American Archivists Distinguished Service Award. In 1983, it received a matching grant from the National Historical Publications and Records Commission for a study of archival and records mangagement programs in Chicago and Cook County. The Archives' "Windows on the Past" collection of historical documents has been introduced into the Illinois school system.

The archivist participated in two meetings of the Library Friends Executive Committee, two meetings of the Program Committee and two meetings of the Library Advisory Review Committee on professorial appointments. He served on the university Tykociner Lecture Committee. The archivist reviewed manuscripts submitted for publication in The American Archivist.

The archivist published the National Catalog of Sources for the History of Librarianship, (Chicago: American Library Association, 1982, 409 pp.) and "The Origins of Modern European Archival Theory" in The Midwestern Archivist, (7:2:87-101, 1982) and reviewed Federal Records Management: A History of Neglect by Elmer Staats (GAO, 1981) and Modern Public Records: Selection and Access by Duncan Wilson (HMSO, 1981) in The American Archivist (45:4:477-9, Fall, 1982).

The assistant archivist attended the annual meeting of the Society of American Archivists and was elected Vice-Chair/Chair-Elect of the College and University Archives Professional Affinity Group. In this capacity, he prepared a report on the preparation of a manual for academic archives. He published a review of Automating the Archives by Lawrence McCrank (Knowledge Industry Publications, 1981) in the Midwestern Archivist (7:1: 61-4, 1982), and served on the Library's Preservation Committee.

The assistant archivist attended the fall and spring meetings of the Midwest Archives Conference, and co-conducted an advanced processing workshop at both meetings. As MAC's Secretary-Treasurer, he maintained the membership file, prepared a financial planning study, participated in Council meetings and mailed publications to members. He was reelected to this office in April, 1983. As chair of MAC's Local Arrangements Committee for its fall meeting in Champaign-Urbana, he prepared plans for the educational and social aspects of the conference.

The assistant archivist reviewed three grant proposals for the National Endowment for the Humanities, and served on a NEH review panel in Washington which made recommendations on 35 grant proposals relating to research materials for world studies. The archivist reviewed three grant proposals for the Research Resources Program of the National Endowment for the Humanities.

Paid consulting services are an essential part of professional and scholarly activities as they enhance one's ability to teach, engage in research and provide public services at the university in a continuing period of meager financial resources. In the past year, the archivist performed consulting work which was not supported by university funds for the University of Alberta and Southeast Missouri State University. The assistant archivist performed consulting services for the Sisters of Charity of St. Augustine.

VIII. Plans and Future Development.

A. Secure additional space to permit the retention of university records of archival value in areas that approach minimum archival standards for conservation, security, and access.

B. Maintain a high level of reference service with minimal staffing.

C. Prepare and enter standard records descriptions covering administrative and housekeeping documents into the microcomputer to facilitate production of records disposal authorizations for university offices and departments.

D. Strengthen our system of finding aids and reference material for increasing usage by undergraduates and determine costs of the commercial microform publication of finding aids.

E. Publish microfiche editions of the University Archives Guide and a revision of the ALA Archives Guide. The Archives Guide should include administrative and statistical histories of university offices.

We welcome this opportunity to thank the University, the University Library, the Graduate School of Library and Information Science, the American Library Association, the American Association of Law Libraries and the Argonne Universities Association for their financial support of our work.

Maynard Brichford
University Archivist

Table 1. Archives Staff

Graduate Students

Allen, Frances	Library & Information Science
Barry, Nancy	English
Beckel, Deborah	Library & Information Science
Carson, James	Education
de Hillerin, Alexandra	Comparative Literature
Esserman, Suzanne	History
Handy, Priscilla	Sociology
Kinnamon, Jon	History
Mattlage, Allen	Library & Information Science
Oehlschlaeger-Garvey, Barbara	Art History
Olsgaard, John	Library & Information Science
Riley, Martha	Library & Information Science

Undergraduate Students

Anderson, Kirsten
Freudenberg, Donna
Hodges, Renai
O'Halloran, Elaine
Soroker, Wendy
Stimatis, Jane

Distribution of Student Hours

	Graduate	Undergraduate	Total
A. Administrative			
General	54	4	58
Automation (PARADIGM)	314		314
Exhibits	76		76
Moving and Shelving	55		55
B. Processing and Finding Aids			
Processing			
University Archives	1103	1	1104
American Library Assoc.	840		840
C. Reference	266	7	273
D. Typing and Clerical	437	458	895
E. Teaching Assistant	100		100
F. Research	69		69
	3314	470	3784

Table 2. University Archives Holdings by Record Group

Figures in each column represent number of record series and cubic feet

RECORD GROUP	OFFICE RECORDS		PAPERS		PUBLICATIONS		TOTAL PROCESSED	
00=GENERAL	0	0.0	0	0.0	12	13.5	12	13.5
01=TRUSTEES	18	87.4	12	20.7	5	17.5	35	125.6
02=PRESIDENT	92	854.4	24	84.9	42	16.2	158	955.5
03=COUNCIL	3	8.6	0	0.0	0	0.0	3	8.6
04=SENATE	39	127.8	0	0.0	46	10.6	85	138.4
05=ACADEMIC DEVELOPMENT	18	110.9	3	19.6	16	6.6	37	137.1
06=PLANNING & ALLOCATION	29	386.2	1	1.0	21	13.7	51	400.9
07=GRADUATE	12	40.2	4	2.3	48	39.0	64	81.5
08=AGRICULTURE	86	529.1	63	154.9	338	165.0	487	849.0
09=COMMERCE	10	26.8	35	279.4	76	25.1	121	331.3
10=EDUCATION	22	100.3	25	102.8	85	22.9	132	226.0
11=ENGINEERING	42	93.4	67	160.7	170	80.1	279	334.2
12=FINE ARTS	26	65.0	27	121.6	86	22.9	139	209.5
13=JOURNALISM	19	131.7	6	6.0	37	5.7	62	143.4
14=LAW	5	48.6	11	34.7	16	8.7	32	92.0
15=LIBERAL ARTS	95	379.8	144	705.2	195	49.0	434	1134.0
16=PHYSICAL EDUCATION	4	10.9	8	10.5	42	5.3	54	26.7
17=VETERINARY MEDICINE	2	21.6	1	0.3	24	3.7	27	25.6
18=LIBRARY SCIENCE	36	227.6	10	40.6	38	11.3	84	279.5
19=SOCIAL WORK	1	6.3	1	19.0	4	0.4	6	25.7
20=AVIATION, INSTITUTE OF	3	10.2	2	1.4	10	1.2	15	12.8
21=GOVERNMENT & PUBLIC AFFAIR	3	21.6	0	0.0	14	3.0	17	24.6
22=LABOR & INDUSTRIAL RELATIO	1	13.6	3	3.0	16	5.8	20	22.4
23=ENVIRONMENTAL STUDIES	0	0.0	0	0.0	12	5.0	12	5.0
24=CHANCELLOR	29	287.4	1	1.0	28	9.9	58	298.3
25=ADMISSIONS & RECORDS	22	366.4	1	2.3	36	20.4	59	389.1
26=ALUMNI	21	183.7	74	511.8	24	10.2	119	705.7

Table 3. American Library Association Archives Holdings by Record Group

Figures in each column represent number of record series and cubic feet

RECORD GROUP	OFFICE RECORDS		PAPERS		PUBLICATIONS		TOTAL PROCESSED	
00*INFORMATION ABOUT ALA	0	0.0	2	1.4	1	0.1	3	1.5
01*COUNCIL	1	9.0	0	0.0	2	0.4	3	9.4
02*EXECUTIVE BOARD & EXECUTIV	37	124.2	15	19.0	5	1.6	57	144.8
03*ADMINISTRATIVE & FISCAL SE	13	17.2	0	0.0	1	0.1	14	17.3
04*CHAPTER RELATIONS OFFICE	0	0.0	0	0.0	0	0.0	0	0.0
05*CONFERENCE ARRANGEMENTS OF	18	17.7	0	0.0	5	12.6	23	30.3
06*INTELLECTUAL FREEDOM OFFIC	2	0.6	0	0.0	0	0.0	2	0.6
07*INTERNATIONAL RELATIONS OF	18	79.8	1	0.1	4	0.4	23	80.3
08*LIBRARY EDUCATION, OFFICE	4	5.9	1	0.6	0	0.0	5	6.5
09*LIBRARY PERSONNEL RESOURCE	5	4.4	0	0.0	3	0.3	8	4.7
10*LIBRARY OUTREACH SERVICES,	0	0.0	0	0.0	3	0.5	3	0.5
11*MEMBERSHIP PROMOTION OFFIC	2	1.1	0	0.0	0	0.0	2	1.1
12*PUBLIC RELATIONS OFFICE	6	14.7	0	0.0	2	0.4	8	15.1
13*PUBLISHING SERVICES	11	23.6	1	0.3	29	24.2	41	48.1
14*OFFICE FOR RESEARCH	1	3.3	0	0.0	0	0.0	1	3.3
15*LIBRARY TECHNOLOGY PROGRAM	1	1.0	0	0.0	3	1.5	4	2.5
17*WASHINGTON OFFICE	6	23.4	0	0.0	2	0.9	8	24.3
18*HEADQUARTERS LIBRARY	9	13.7	0	0.0	2	0.2	11	13.9
20*AMERICAN ASSOCIATION OF SC	10	17.2	1	1.0	10	1.8	21	20.0
21*AMERICAN LIBRARY TRUSTEES	5	3.7	1	0.6	1	0.1	7	4.4
22*ASSOCIATION OF COLLEGE & R	33	69.2	1	0.6	8	8.2	42	78.0
23*ASSOCIATION OF SPECIALIZED	3	4.7	0	0.0	2	1.0	5	5.7
24*ASSOCIATION FOR LIBRARY SE	16	23.7	1	0.3	5	1.1	22	25.1
25*ASSOC OF SPECIALIZED & COO	4	11.7	1	1.0	4	1.1	9	13.8
26*LIBRARY AND INFORMATION TE	3	2.0	2	2.6	2	0.4	7	5.0
27*LIBRARY ADMINISTRATION AND	30	67.4	0	0.0	11	1.3	41	68.7
28*LIBRARY EDUCATION DIVISION	19	44.1	1	0.1	7	23.5	27	67.7

Table 4.

A. Personal Papers collected and processed:
(A) = substantial additions to existing series

Persons	Fields	Dates	Cubic Feet
Mary L. Bull (A)	Library	1966-82	.2
Joseph B. Casagrande	Anthropology	1938-82	40.5
Harrison E. Cunningham (A)	Press	1930-50	1.0
Robert A. David	Alumnus	1982	.1
Richard E. Fisher	Alumnus	1951	1.6
David Gottlieb (A)	Plant Pathology	1946-81	.3
Mark P. Hale (A)	Social Work	1939-79	.7
A. Austin Harding	Bands	1899-1958	41.7
Edward J. Hess	Library	1949-70	.3
James B. Kitzmiller	Zoology	1945-82	.6
David F. Linowes (A)	Political Science	1962-82	8.5
Donald A. Lowrie	Russian & E. Europe	1911-65	.6
Regis Michaud (A)	French	1905-38	.3
Mortimer B. Smith	Education	1949-81	1.0
Joel Stebbins	Astronomy	1907-57	.1
Russell I. Thackrey	Higher Education	1954-82	.3
Susan E. Thompson	Student	1889-90	.2
George W. White (A)	Geology	1974-82	4.0
John A. Wieland	Trustee	1935-41	1.0

B. Personal papers collected in previous years and processed this year:

Bernita Davies	Library	1921-72	1.3
Norman A. Graebner (A)	History	1978-82	1.0
Nellie L. Perkins	Home Economics	1924-68	2.3

C. Personal papers collected, but not processed:

Paul Anderson	Russian & E. Europe	1914-79	33.0
Peter Axel	Physics	1946-82	15.0
David C. Baum	Law	1966-72	10.0
Milton Derber	Labor & Indus. Relations	1960-66	.5
Oscar H. Dodson	World Heritage Museum	1962-82	1.0
Harold W. Hannah (A)	Agricultural Economics	1938-62	2.0
Albert N. Harno (A)	Law	1942-55	20.0
Oscar Lewis (A)	Anthropology	1969-73	9.8
Russell N. Sullivan	Law	1958-66	11.0
Sherlock Swann	Chemistry	1928-80	.3
Harry M. Tiebout (A)	Philosophy	1955-80	10.0
Robert D. Walker	Agricultural Extension	1971-79	1.0
Louis B. Wetmore	Urban Planning	1965-74	2.5

Table 5.

Users	July-Sept.	Oct.-Dec.	Jan.-Mar.	Apr.-June	Total
Undergraduates	117	385	430	252	1184
Graduate Students	249	321	353	130	1053
Public	245	116	203	276	840
Administration	153	141	290	122	706
Other Universities	145	224	111	219	699
Faculty/Research Asst.	122	186	166	129	603
	1031	1373	1553	1128	5085

Table 6.

Purpose					
Historical Research	419	405	589	503	1916
Seminar/Course Paper	175	351	329	178	1033
Administrative	183	191	260	183	817
Personal	167	194	250	171	782
Classroom	33	142	85	53	313
Dissertation/Thesis	54	90	40	40	224
	1031	1373	1553	1128	5085

Table 7.

Users	1978-79	1979-80	1980-81	1981-82	1982-83
Undergraduates	26%	26%	26%	27%	23%
Graduate Students	24	19	16	18	21
Public	9	14	14	16	16
Administration	11	9	13	12	14
Other Universities	8	10	15	11	14
Faculty/Research Asst.	22	22	16	16	12
Purpose					
Historical Research	27%	36%	34%	30%	38%
Seminar/Course Paper	23	22	15	16	20
Administrative	14	14	18	21	16
Personal	11	14	17	21	15
Classroom	8	6	9	6	6
Dissertation/Thesis	17	8	7	6	5

Table 8. Records used during the past year.

Record Group	Office Records	Papers	Publications
0 - General			7
1 - Board of Trustees	29	6	197
2 - President's Office	146	14	39
4 - Senate	11	1	3
5 - Academic Development			1
6 - Planning and Assocation	30		30
7 - Graduate College	3	5	38
8 - Agriculture	37	29	24
9 - Commerce and Business Administration		2	8
10 - Education		15	1
11 - Engineering	6	8	63
12 - Fine and Applied Arts	29	66	29
13 - Journalism and Communications	12	2	1
14 - Law			1
15 - Liberal Arts and Sciences	13	140	15
16 - Physical Education		3	
18 - Library Science	30	10	7
20 - Institute of Aviation		1	
23 - Environmental Studies			3
24 - Chancellor	2		12
25 - Admissions and Records	16		98
26 - Alumni Association	143	191	88
27 - Armed Forces (ROTC)	3		2
28 - Athletic Association	15		53
30 - Dad's and Mother's Association	5		
31 - Extension	2	1	1
32 - Foundation	14		9
35 - Library	39	14	8
36 - Personnel Services	4		1
37 - Physical Plant	42		30
38 - Press	1		99
39 - Public Information	270	4	23
41 - Student Affairs	72	66	259
43 - Natural History Survey	5	1	2
44 - Geological Survey			1
45 - Water Survey			3
48 - Faculty Organizations	1		19
49 - Galesburg			4
60s- Chicago Circle			3
	980	579	1182

In addition to the above records, reference books were used 366 times, the University Archives Reference File was used 882 times and 641 general inquiries were made. There were 455 references regarding the American Library Association Archives.

Table 9. University Archives Exhibits

1. Notable Acquisitions: American Association of Law Libraries and Third Armored Division Association
2. Federal Civil Rights Legislation and the University of Illinois
3. 75 Years Ago: The Cubs Win It All
4. Gaffes, Gobbledygook and Guffaws: The Perils and Pleasures of Administrative Communication
5. Louisa May Alcott: A Sesqui-centennial View
6. 250th Anniversary of Poor Richard
7. The Humanities at Illinois: Comparative Rankings
8. Library Buildings
9. The Bank Holiday of 1933
10. NASULGC and AUA: Cooperation in Higher Education
11. Commencement 1883, 1933, 1958
12. Photography: Portraiture

All University Archives exhibit materials and explanatory cards are available for use at other campus locations under proper control and suitable conditions.

UNIVERSITY OF MARYLAND LIBRARIES - COLLEGE PARK CAMPUS
POSITION DESCRIPTION FORM
ASSOCIATE STAFF

BEST COPY AVAILABLE

Date Prepared: April 5, 1983 Division: Special Collections

Prepared by: Donald Farren Department: Historical Manuscripts and Archives

Position Rank: Librarian II Unit: _____

Specific Position Title: Curator of Historical Manuscripts and Archivist

Reports to: Associate Director of Libraries for Special Collections

NATURE OF WORK: Heads the Manuscripts and Archives Department, a unit within the Special Collections Division of the University of Maryland Libraries College Park, and serves as Archivist of the University of Maryland College Park.

Position Requirements:

Education: Master's degree in Library Science from an ALA accredited Library school and study of manuscripts and archives work. Ph.D in history highly desirable.

Experience: At least 4 years of professional experience in an academic or research library including experience with manuscripts and archives, or other comparable experience. Demonstrated success in supervision and administration.

Qualifications: Specialized knowledge of historical manuscripts and of archives and expertise in the acquisition, organization, and use of these materials to support research and teaching. Ability to interact effectively with the creators and owners of historical manuscripts and archives and with donors and dealers, and familiarity with the trade in historical manuscripts.

Must be able to deal successfully with a broad range of library functions. Ability to interact effectively with library staff, with a broad range of library users including students, faculty, and other diverse clientele; with other University personnel; and with professional colleagues beyond the University. Ability to analyze problems and to propose and implement effective solutions. Ability to communicate effectively in oral and written form.

DESCRIPTION OF DUTIES AND RESPONSIBILITIES: Plans, organizes, and directs the work of the Manuscripts and Archives Department and the personnel and financial resources assigned. Facilitates and promotes the effective and appropriate use of the materials for which the department is responsible: personal and family papers, the records of organizations, photographs, oral history records, memorabilia, and offical records and publications of the University of Maryland College Park. Responsible for analyzing, evaluating, and developing the University Archives Program. Coordinates the services of the department with other units of the Library and with library facilities elsewhere.

Is responsible for analyzing collections and for devising collection development policies and programs, for soliciting materials and funding, and for the security of library materials. Evaluates the conservation and preservation of materials for which the department is responsible. Provides direct service to library users as appropriate.

SUPERVISORY RESPONSIBILITIES: Supervises one professional librarian and one classified staff and provides for the supervision of occasional temporary and student employees.

THE UNIVERSITY OF CONNECTICUT LIBRARY

Job Title: University Archivist and Director, Historical Manuscripts and Archives

Department: Historical Manuscripts and Archives
University of Connecticut Library, Storrs

Under the general supervision of the University Librarian the incumbent is responsible for all aspects of the administration and management of the Historical Manuscripts and Archives Department and its facilities in the Wilbur Cross Library. The incumbent's responsibilities in several areas will require developing close working relationships with members of the faculty, administration and staff throughout the state-wide University system; with representatives of state and regional archival and manuscript repositories; with labor unions, business organizations and ethnic associations; and with a wide variety of researchers, potential donors, and donors.

The following statement of specific duties and responsibilities represents the broad range of activities that this position encompasses. It is not anticipated that all of these duties and responsibilities will require equal and full attention at all times. Through the development of performance goals and objectives, priorities will be established for a given period of time in regard to these specific duties and responsibilities. It is also expected that the development of performance goals and objectives will lead to the identification of more detailed and specific duties and responsibilities under one or more of the areas outlined below.

This list of responsibilities is intended to suggest the broad outlines of activities encompassed by the position. It cannot be considered comprehensive, since specific daily activities necessary to carry out these responsibilities will be more numerous and more varied than those duties listed below.

PLANNING

The University Archivist/Director of Historical Manuscripts and Archives is responsible for initiating both short-term and long-term planning activities for the University of Connecticut Archives and the historical manuscripts collections of the library, in order to develop and maintain an effective program of administrative, research, and instructional services.

1. Plan for initial organization and subsequent development of a new archival program for university records and historical manuscripts.

2. Develop and annually update a departmental statement of goals and objectives indicating priorities and major concerns to be addressed.

3. Compose and periodically update a projected long-range timetable for development of the department according to clearly defined priorities and goals.

Planning (Contd)

4. Identify and develop policies and procedures needed to support the effective operation of the department; normally, policies and procedure will be reviewed with the University Librarian only if a major impact on departmental operations is anticipated or if advice is needed.

5. Prepare budget requests, with supporting documentation, for staffing, travel, supplies, equipment, reference books, and other necessary expenses of the department; maintain accurate records of budget accounts for department, including grant funds.

6. Initiate external funding requests, including grant applications, to provide additional support for the department in areas of high priority to the department's long-term goals and objectives and for which available internal funds are inadequate; this requires obtaining detailed knowledge of potential funding sources, exploring and developing potential new sources, and maintaining contact with major archival funding sources.

7. Prepare and update a detailed preservation plan for the department, in cooperation with appropriate library staff, in order to identify needs and establish priorities for improved environmental conditions, physical care, preservation practices, and conservation methods for the department's archival and manuscript collections.

8. Prepare and update a detailed disaster plan for the department, in cooperation with appropriate library staff, in order to identify potential impact and for responding to emergencies.

9. Evaluate the physical requirements of the facilities used by the department and make documented recommendations for additions, changes, improved security, and repairs as needed.

COLLECTION DEVELOPMENT

The University Archivist/Director of Historical Manuscripts and Archives is responsible for identifying, locating, soliciting, and obtaining for the department archival materials which have administrative, legal or historical value for the university and manuscript collections which have scholarly research value for the university community and the general public.

University Archives:

1. Determine the scope and characteristics of materials to be collected in order to document the history, functions, and activities of the university and its departments, divisions, faculty, staff, and students. This includes establishing a written collection policy outlining priorities and exclusions.

2. Survey university offices in order to inventory records created and maintained by various units and to locate records of permanent archival value, based on legal, administrative, and historical criteria.

Collection Development (Contd)

3. In cooperation with the university's records management officer (currently the Internal Auditor) and the state public records administrator, compile and carry out records retention/disposition schedules for departments and divisions of the university.

4. Maintain contact with University Publications and other university offices in order to receive copies of publications, reports, and minutes relating to all divisions of the university.

5. Locate, pack, and transfer to the archives university records of permanent archival value; assist offices in disposing of records identified for destruction in records disposition schedules.

6. Maintain accurate records of above transactions.

Historical Manuscripts:

1. Prepare and periodically review a written collection policy for historical manuscripts, including purpose, scope, and priorities for collecting materials.

2. Collect information about potential sources of materials and/or information, through contacts with faculty, staff, alumni, other archivists and curators, and by reading appropriate newspapers, magazines, and other publications.

3. Identify and contact potential donors (individuals and organizations) in order to determine the existence and probable value of their materials.

4. Solicit manuscript collections which have potential research value and which fall within the department's collection policy, through correspondence and personal visits with donors; includes discussion of the relationship and value of the materials being solicited to the department's program and to the university's mission as a teaching and research institution.

5. Negotiate the terms by which donor gives or deposits materials, including property title, copyright, access or restrictions, and other conditions of the gift agreement.

6. Supervise and conduct packing, shipment, and delivery of materials to the university.

7. Develop and maintain communication and close working relationships with potential donors and donors.

ARRANGEMENT AND DESCRIPTION

The University Archivist/Director of Historical Manuscripts and Archives is responsible for establishing intellectual and physical control of all archival and manuscript collections in order to make them accessible and available for research use.

Arrangement and Description (Contd)

1. Conduct accessioning and preliminary inventory of materials received; keep necessary records for documentation.

2. Determine for each group of materials the proper order of arrangement according to a plan that is logical, informative, appropriate, and conforms to archival principles.

3. Organize materials physically according to an individualized plan, including proper ordering and placement of materials.

4. Provide basic preservation services for the materials, including surface cleaning, removal of harmful fasteners, placement in acid-free folders, boxes or appropriate containers, and general attention to the proper care, handling, and storage of materials.

5. Identify materials requiring special preservation treatment and arrange for work to be done in the library or by outside specialists.

6. Conduct historical research in order to ascertain biographical or historical information about the individual(s) or organization(s) which created each collection of materials.

7. Compose narrative finding aids for each collection, including biographical/historical information, description of scope and contents of the papers, provenance of the papers, and listing of boxes/folders/items in the collection.

8. Catalog publications, records, and manuscripts according to archival and/or library guidelines; develop and adapt appropriate cataloging procedures for various types of materials.

9. Compile bibliographies of related materials on subjects appropriate to the department's holdings.

10. Report manuscript collections to the National Union Catalog of Manuscript Collections, professional journals, and other appropriate national and regional data bases and bibliographies.

REFERENCE SERVICES

The University Archivist/Director of Historical Manuscripts and Archives is responsible for aiding researchers in their knowledge and use of the collections and for providing certain types of information based on the department's holdings.

1. Provide full reference services of the department during established public service hours, which will be published and posted in the main library and the department.

2. Consult with researchers in identifying research topics and potential sources of information.

Reference Services (Contd)

3. Instruct researchers in the methods and procedures of archival research, through individual consultation and group seminars.

4. Assist researchers in using the card catalog, finding aids, and guides.

5. Retrieve materials from the stacks on request; stacks are closed and materials do not circulate outside the department.

6. Develop and maintain records on research use of the collections, including correspondence, registration, application, and circulation records.

7. Supervise reading room and enforce procedures to ensure the security of materials form theft and improper handling.

8. Prepare bibliographies, "how-to" instructions, and other written reference aids.

9. Provide information and retrieval of records for university offices whose records have been transferred to the archives.

10. Provide photocopying assistance for researchers through the library copy center.

STAFFING AND DEVELOPMENT

The University Archivist/Director of Historical Manuscripts and Archives is responsible for insuring the quality of staff performance through the selection, training, supervision, counseling and development of the department's staff, including student assistants.

1. Identify staffing needs, including the number of staff and job levels, and inform University Librarian of department's requirements.

2. Establish job descriptions for positions based on an analysis of department's needs, work flow, and staff resources.

3. Maintain current information and personnel files for staff and work responsibilities within the department.

4. As vacancies occur, review job descriptions, initiate paperwork necessary for filling the position, participate in search for applicants, interview candidates, and make employment recommendations.

5. Develop and carry out a written training program, in accordance with established guidelines, for each new staff member and for any staff member accepting a significant new assignment.

6. Counsel employees in developing annual performance goals and objectives as the basis for annual evaluations.

Staffing and Development (Contd)

7. Evaluate performance of employees in order to recommend areas for improvement and to initiate personnel actions for promotion, merit increases, discipline, and termination.

8. Conduct an annual performance evaluation for all staff, including individual consultation, written reports to library personnel officer, and review with staff members.

9. Maintain a current awareness of union contracts and other state and university personnel policies and procedures covering Historical Manuscripts and Archives staff and administer the provisions of those policies and procedures.

10. Identify and implement appropriate orientation and on-th-job training needed for new employees and on-going staff members.

11. Encourage staff participation in programs related to professional growth and development, including continuing education, professional conferences, seminars, and workshops, and inform staff of any financial support and/or scheduling arrangements which may be available to support their participation.

12. Maintain all records necessary to document or carry out personnel activities and responsibilities, including payroll records, student time cards, and account balances.

PUBLIC RELATIONS AND COMMUNICATION

The University Archivist/Director of Historical Manuscripts and Archives is responsible for serving as the primary spokesperson in conveying the needs, concerns, services, activities, and perspectives of Historical Manuscripts and Archives to the University Library, the university communtiy, the archival and historical professions, and the community at large, and in conveying to the department's staff information necessary or useful for the proper operation of their jobs.

1. Inform staff of departmental activities and problems, and of issues, activities, and concerns within the library, the university, and the archival and historical professions, through regular Historical Manuscripts and Archives staff meetings, routing of memos and publications, and informal sharing of information.

2. Encourage departmental staff to communicate their ideas, opinions, and concerns by establishing both an atmosphere and the means, formal and informal, conducive to such communication.

3. Provide written reports, including an annual report for Historical Manuscripts and Archives and specific reports as needed, to inform the library, the University administration, and the University community of the programs, activities, services, and needs of the department.

Public Relations and Communication (Contd)

4. Insure on-going effective communication with the University Librarian on both day-to-day activities and long-range plans.

5. Inform the University Library staff of the department's activities through annual departmental presentations, staff forums as appropriate, contributions to the "Innocent Bystander," and participation in Public Services meetings.

6. Inform the University community of the programs, activities, services, and needs of Historical Manuscripts and Archives through distribution of notices, public lectures, open houses, and personal contacts with the faculty, the administration, deans, departments, other offices, and students.

7. Develop and maintain close working relationships with the Labor Education Center, the Ethnic Heritage Project, the Center for Oral History, the Internal Auditor, the Research Foundation, and other university offices and groups whose programs and activities are closely associated with Historical Manuscripts and Archives.

8. Initiate and participate in planning exhibits, colloquia, workshops, and other events related to the history of the University or the State, or which may foster historical awareness and interest.

9. Publicize the collections, programs, and concerns of the department through articles and notices in "Harvest," the University Chronicle, the Connecticut Daily Campus, the Almanac, Connecticut Alumnus, and other University publications.

10. Disseminate information about the department to the public media through press releases, media events, and other means, in cooperation with the office of Public Information.

11. Inform the local and national scholarly community of the department's collections, programs, and services through articles and news releases in state, regional, and national journals and newsletters of archival and historical organizations, and through listings in appropriate national directories, data bases, and bibliographic sources.

12. Initiate opportunities to address historical, educational, civic, business, labor, and ethnic organizations in order to explain the collections, services, activities, and collecting interests of Historical Manuscripts and Archives.

13. Develop and maintain close working relationships with labor unions, business organizations, ethnic and civic groups, individuals, and other potential donors and sources of information.

PROFESSIONAL ACTIVITIES

The University Archivist/Director of Historical Manuscripts and Archives is expected to participate in the programs and activities of professional archival

Professional Activities (Contd)

and historical associations, to contribute to historical and archival programs and activities of the University, and to carry out an active program of personal professional development.

1. Participate in professional activities of the Society of American Archivists, including annual meetings, professional affinity groups, and workshops, seminars, and committees as appropriate.

2. Participate in regional, state, and local archival and historical associations, such as New England Archivists, the Association for the Study of Connecticut History, the Connecticut Center for Independent Historians, the Mansfield Historical Society, or others, depending on personal background, experience, and interests.

3. Participate in national historical or other professional associations, depending on personal interests, such as the American Association for State and Local History, the Organization of American Historians, or the Association of Records Managers and Administrators.

4. Develop and carry out an active program of personal professional development, through extensive reading of professional literature; presenting papers at professional meetings; teaching seminars and workshops; and professional publication of articles, reports, and/or books.

5. Serve as a member of the Public History Committee of the Department of History, in formulating policies for the Public History and Archival Management program.

6. Instruct Public History students in a practicum on archival arrangement and description, including at least 140 hours of work experience for each student.

7. Teach one course per year on archival theory and administration for the Public History program, through special arrangement between the Department of History and the University Library.

8. Counsel students in the Public History program on such topics as archival careers, archival theory and practice, and program requirements.

9. Seek other appropriate opportunities to contribute to archival and historical programs locally, regionally, and nationally, and to develop expertise and make contributions in various areas of professional interest.

QUALIFICATIONS:

Requirements:

1. Ph.D. in History or American Studies.

2. At least four years of professional experience, including supervisory experience, in a similar archival program.

Qualifications (Contd)

3. Familiarity with the practices and methods of historical research, including primary sources.

4. Training or experience in records management.

5. Background or knowledge of post-Civil War New England history.

Personal Characteristics:

1. Exceptional organizational and planning abilities.

2. Effective writing and communication skills.

3. Ability to speak well in public and to work effectively with a wide range of individuals and groups.

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JR
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